

R E P O R T 2 0 1 6

THE ANDREW W. MELLON FOUNDATION

THE ANDREW W. MELLON FOUNDATION

Report
from January 1, 2016
through December 31, 2016

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The Andrew W. Mellon Foundation, a not-for-profit corporation under the laws of the State of New York, resulted from the consolidation on June 30, 1969 of the Old Dominion Foundation into the Avalon Foundation with the name of the Avalon Foundation being changed to The Andrew W. Mellon Foundation. The Avalon Foundation had been founded in 1940 by Ailsa Mellon Bruce, Andrew W. Mellon's daughter. The Old Dominion Foundation had been established in 1941 by Paul Mellon, Andrew W. Mellon's son.

The Foundation endeavors to strengthen, promote, and, where necessary, defend the contributions of the humanities and the arts to human flourishing and to the well-being of diverse and democratic societies. To this end, it supports exemplary institutions of higher education and culture as they renew and provide access to an invaluable heritage of ambitious, path-breaking work. The Foundation makes grants in five core program areas: higher education and scholarship in the humanities; arts and cultural heritage; scholarly communications; diversity; and international higher education and strategic projects. Collaborative planning by the Foundation and its grantee institutions generally precedes the giving of awards and is an integral part of grantmaking. Unsolicited proposals are rarely supported. Prospective applicants are therefore encouraged not to submit a full proposal at the outset but rather a letter of inquiry, setting forth the need, nature, and amount of any request, in accordance with instructions available on the Foundation's website, at <http://www.mellon.org>. The Foundation does not make grants directly to individuals or to primarily local organizations.

Within each of its core programs, the Foundation concentrates most of its grantmaking in a few areas. Institutions and programs receiving support are often leaders in fields of Foundation activity, but they may also be promising newcomers, or in a position to demonstrate new ways of overcoming obstacles so as to achieve program goals. The Foundation seeks to strengthen institutions' core capacities rather than encourage ancillary activities, and it seeks to continue with programs long enough to achieve meaningful results.

The Foundation makes its grantmaking and particular areas of emphasis within core programs known in a variety of ways. Annual Reports describe grantmaking activities and present complete lists of recent grants. The Foundation's website describes the core programs in some depth, publishes past Annual Reports, and furnishes other information concerning the Foundation's history, evolution, and current approach to grantmaking.

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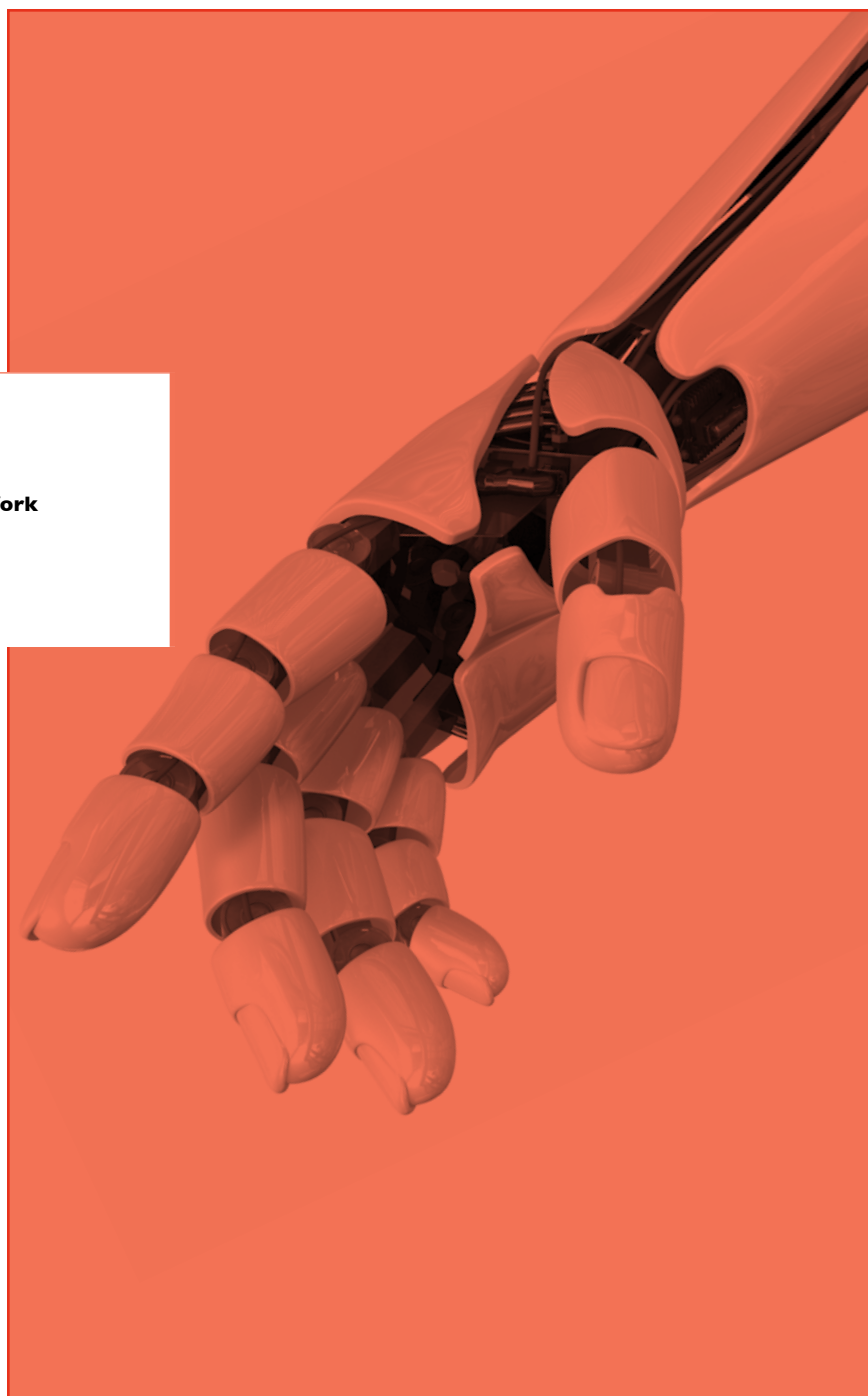
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Future Work

Few who came of age in the 1960s can escape the image of two compellingly different visions of the future.

One, taken from the iconic nineteenth-century novel by Mary Shelley and popularized through films (and, satirically, the TV sitcom *The Munsters*), featured a human-created, sentient creature named Frankenstein; the other was the syrupy 1960s cartoon fantasy about the future called *The Jetsons*.

The creature Frankenstein emanates from the genius of his creator, a doctor of the same surname. Said doctor believes that he can harness natural resources, such as lightning, blend them with biological and mechanical elements, and create a new being. But Dr. Frankenstein does not fully appreciate what will be the reaction to his crafty work. Rather than marvel and exclaim, his neighbors—and he himself—react with fear and disgust. They want nothing to do with the grotesque creature, which they perceive as threatening and ungodly. In the end, Shelley's monster scared his contemporaries and the novel served as a cautionary tale about humans trying to act godlike by creating new, intelligent, cognitive beings.

The Jetsons offered a gentler, utilitarian vision of the future. Rather than combining human DNA with mechanical elements, Rosie, the Jetsons' helpful helper, is unquestionably a machine. She exists to serve and please her owners, albeit with a pointed sassiness. While surly, she is neither threatening nor scary.



Frankenstein was a dystopian forerunner of the idea of the Fourth Industrial Revolution.

Rosie offers a more gentle vision of the future.

Literary and cartoon versions of the future are seldom a match for actual human creativity. Frankenstein was a forerunner of the idea of the Fourth Industrial Revolution.¹ This revolution promises to marry the mechanical, the digital, and the biological, with humans creating new beings for human advancement. The fully humanized robot often imagined comes to us in popular culture in many forms. There is the weaponized *Terminator*; the pleasure purveyors (or at least wish fulfillers) in *Westworld*; and Data, *Star Trek*'s loveable Android, so given to conversation about what it means to be human. They join a plethora of movies that broadcast the dark fear that we have created beings we can no longer control.

Today none of the images culled from the past or manufactured by Hollywood is an honest reflection of where we are. People might still fear the robotic entities to come, but they nonetheless buy cleaning bots, employ robotic work helpers, and fantasize about drone deliveries. Cognizant of the massive reorganization of labor that has seen manufacturing jobs decline from 27 percent of the workforce in 1960 to about 8 percent in 2010, some manufacturing owners and workers can also imagine a workable coexistence with new robotic tools.² In Ramsey, Minnesota, for example, a molding manufacturer, hurt by price competition from abroad and squeezed by declining sales during the Great Recession, turned to robots to save his plant *and* the jobs of those workers he had retained. What had once taken four men, working in tandem to produce, can now be done efficiently and effectively by one person and one robot, with a lot less waste due to human error. The result has been an increase in productivity and work—and in this case, without the sacrifice of more human jobs.³

But that's not true across the manufacturing sector. Nationwide, according to published accounts, factories are producing even more products than before

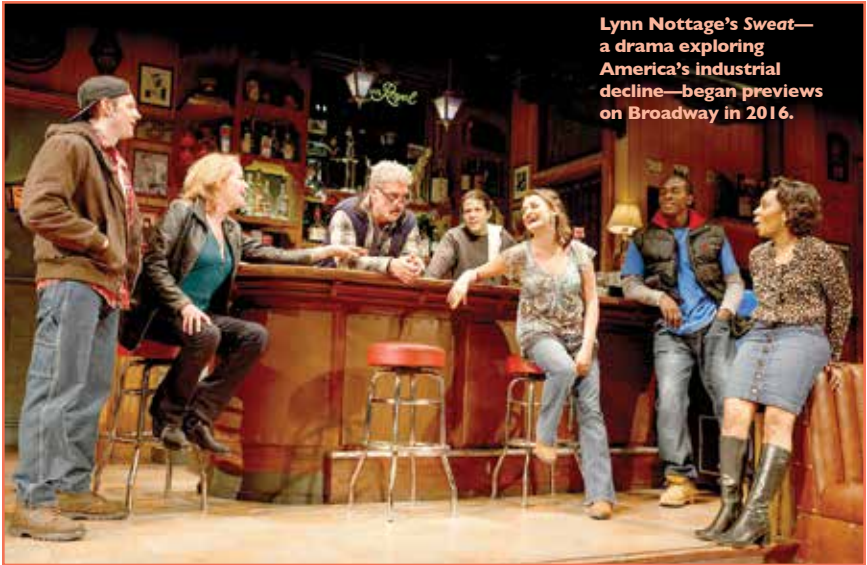
the Great Recession with 10 percent fewer workers. And this moment of automation has surfaced a new period of angst about work. The upper classes have always been defined in relation to the middle and working classes. Yet what are we to make of the working classes if the jobs they long held disappear—if they have no more work? Training as a nurse or in the health and patient care industries may offer future employment options, but in white or pink collar occupations rather than the blue collar jobs long the symbol of America's workers.⁴ Will New York City, for example, need as many taxi cab drivers if Google and other companies succeed in perfecting driverless cars?

This is no idle question, but a realistic query about a generational shift in the nature of work—and it points to another crucial question: are we prepared to solve the dual dynamics of the global movement of capital in pursuit of cheap labor and the introduction of new technologies that may combine to heighten unemployment? Until recently, social analysts in the United States worried about the movement of jobs to cheap labor zones in South America, Asia, and potentially Africa. Today, there is growing recognition that technological unemployment may be as devastating as transnational competition. Ponder, for example, the headline “Chinese Factory Replaces 90% of Human Labor with Robots.”⁵ The robots require no wages, won't organize or strike, and have proven highly efficient. Will they constitute the new proletariat?

Economic Dislocation

A combination of macroeconomic forces and technological transformations suggest that notwithstanding what a range of politicians may profess, the process of deindustrialization continues at a formidable pace. Mellon Foundation-supported artist Lynn Nottage dramatized the consequences of disappearing jobs in her highly acclaimed new play *Sweat*. The play's events are set in Reading, Pennsylvania, a town that came of age in the industrial phase of American history. By the time we meet the characters, three generations have worked in the town's surrounding mills and factories. Grandfathers, often skilled craftsmen, migrated from Europe, found work as machinists, made a decent wage, raised families, and took satisfaction in the dignity of their labor. All knew that their hands enabled them to produce items in demand elsewhere.

These grandfathers passed on their experiences and networks to their children, grandchildren, and in a few cases great-grandchildren, such was



the symbiosis between jobs and opportunity. Over about seventy years, work in the factories took on a kind of rhythm. The workers struck for better wages and improved working conditions. Management fought back, at times bringing in new workers from different ethnic or racial groups to break a strike, only to compromise in the end. The ebb and flow of labor-management conflict had its own choreography, and to some, predictability.

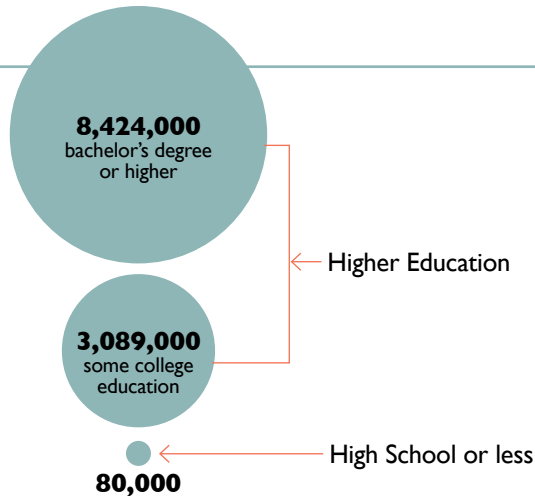
But, caught in the midst of a seismic transformation, the men and women who worked in the factories of Reading, as characterized in the play, had entered a new order. Faced with geopolitical competition of grand significance, companies found wage concessions not only desirable, but imperative. Following the traditional choreography, labor worked toward a compromise that never materialized. Why? Companies, faced with shareholders asking for ever more secure profits, fled old locations in search of cheaper labor, fewer taxes and regulations. Meanwhile, workers, many of whom pined for the good ol' days, professed a dislike of school, eschewing any possibility of retraining and instead developed a growing dependence on opiates and a blistering bitterness that their loyalties had been sold to new arrivals, foreign interests, corporate profits, and indifferent elites.

The economic dislocation in Nottage's play came before the Great Recession of 2008 but its effects were no less devastating. Those who lost their jobs in the

first wave of closures attack friends more fortunate. Racism, ethnic hostility, substance abuse, stupid decisions, all the effects of human misery, follow. As time passes, even those friends find themselves without the security of a decent wage and a dignified job. The only thing that remains are memories of how it used to be, and a bar, now owned by a Latino newcomer, that offers them a place to confront the ghosts of previous poor decisions.

Bear in mind that the play ends in 2008, just as conditions worsened nationally. Between 2008 and 2013, millions more Americans joined the ranks of the unemployed or underemployed. As important, the economy sorted winners and losers differently than in the past. Without question, educational attainment had a new significance in our economy and a new importance to individual and collective wellbeing. According to a recently released study by Georgetown University's Anthony Carnevale and colleagues, of the 11.6 million jobs created during the recovery from the Great Recession of 2008, 8.4 million went to individuals with a bachelor's degree or higher. Notably three million jobs went to those with some college education. High school graduates and those who never finished high school fared poorly, claiming a meager 80,000 new jobs.⁶

According to a recently released study by Georgetown University's Center on Education and the Workforce, 8.4 million of the 11.6 million jobs created during the recovery from the Great Recession of 2008 went to individuals with a bachelor's degree or higher. Only 80,000 new jobs were gained by those with a high school education or less.



As we look ahead from today, many more may be cruelly sifted into winners and losers on the job market. Prognostications insist the semi- or autonomous vehicle will hit the long-distance trucking industry first. Currently between seven and nine million Americans earn a working middle-class wage in

that industry.⁷ But changes in the transportation industry would not affect only truck drivers; cab drivers, limousine companies, delivery businesses, and others will ultimately be reshaped. For a time some may find work rebuilding the nation's infrastructure, assuming policy makers can agree on this imperative and find the resources to make it happen. But as we learned from the stimulus package introduced during the first term of the Obama administration, those dollars have a temporary, albeit important, impact. To stave off fundamental changes in the composition of the workforce for even a decade buys us some time but not a permanent solution. The current driving jobs may be replaced by an entirely new industry, but that will undoubtedly require workers with different skills and expertise. What happens if, in the name of progress, we abandon the millions of people who currently drive for a living?

Dignity of Labor

For some observers, the potential changes prompt images of a dystopic future, where human labor has been replaced, a technological class prevails, and the poorly educated skirmish over the discarded remains. Others hope that the dignity of labor will have been reconsidered, that music, art, and literature will experience a renaissance, and we will think anew about what it means to be human.⁸

Others hope that we will think anew about what it means to be human.

Almost five decades ago the intrepid social observer and writer Studs Terkel embarked on a marvelous journey of discovery that resulted in his bestseller, *Working*. The men and women he interviewed and recorded talked about jobs, friendships, work, heartache, disappointment, accomplishment, dreams, and aspirations. Jobs could be stultifyingly monotonous, managers could be unjustly arbitrary, but getting up in the morning and going off to work registered worth and dignity. The men and women of the 1970s wanted to work because it allowed them to take care of families and responsibilities, to be sure. Jobs also signaled they had full rights as adults in the labor economy; it anchored them in communities, bestowing importance and status.

Conversely, loss of a job or a downward drift was notable and noticeable. Take, for example, the story of Tim Devlin. Devlin had a nervous breakdown, spent several months in the hospital, and lost his job in sales. When he spoke

to Terkel he had found work as a janitor. Though working, his fall from social grace bothered him a lot, especially because he had moved from the assembly line to the sales floor before ending up as a janitor. He remarked, “Right now I’m doing work that I detest. I’m a janitor. It’s a dirty job. You work hard.” Devlin had grown up with the attitude that such jobs were for certain people—blacks, hillbillies, others without options—and now he was one of them. Without hesitation, he labeled himself a “bum.”⁹

Devlin demonstrates that unemployment and underemployment takes its toll on the psyche and sense of individual wellbeing, which new research continues to find. In *Flawed System, Flawed Self*, sociologist Ofer Sharone reports that white collar workers in America blame themselves for periods of unemployment, while, by contrast, Israelis blame the system. When workers blame themselves, they change and limit other steps they might have taken. Studies point to delays in marriage, homeownership, parenting, and other markers of adulthood. Once interlaced with questions about the future, economic insecurity often leads to more than a loss of one’s way; it can bring a profound worry about dignity and place in the social order.

**“Work keeps
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VOLTAIRE

The fundamental notion that work provides more than money and security—that it provides a sense of self-worth—can sometimes be lost in highly technical, macroeconomic analyses. Among the hundreds of people Studs Terkel interviewed was Barbara Terwilliger, then a financially comfortable woman in her thirties. After musing about love and financial independence she commented, “I really feel work is gorgeous. It is the only thing one can depend upon in life. You can’t depend on love. Oh, love is quite ephemeral. Work has a dignity you can count upon.”¹⁰

As we ponder future work, numerous questions emerge. For example, how do we understand the dignity of work? If work equals dignity, and humans want to work, yet the number and kinds of jobs don’t align with skills and abilities, what’s the solution? These are different questions from “Can we project X number of jobs in Y industry in Year 20XX?” Researchers will work really hard to make such predictions. But what about the French philosopher Voltaire’s observation, “Work keeps away three great evils: boredom, vice, and need.” A universal income may stem the need to work, adherence to social

norms may blunt excessive indulgences, but will there always be the desire to work? Are we, as some would suggest, neurologically hardwired to work? Is the specter of boredom our greatest challenge? Moreover, is this propensity to equate work with dignity, worth, and wellbeing a cross-cultural, universal human trait, or a socially informed, learned interpretation of the world?

Role for Higher Education

In the years ahead, colleges and universities will be called on to prove themselves as continued escalators for social mobility. Based on today's research, there is every reason to believe education will sort more and more into categories of winners and losers. Since we know nearly thirty million American adults currently lack a high school diploma¹¹ and even those with a diploma will need access to expanded education and training in the years ahead, we can anticipate many will seek additional schooling or training. Some will confuse education with training, and insist all universities should turn out job-ready products. Many colleges and universities will have to work hard to explain the difference and not conflate the roles.

Nonetheless, demand for access to seats can be expected to grow. Higher education will be asked to admit more students as members of entering freshman classes. We know a mismatch currently exists, with demand



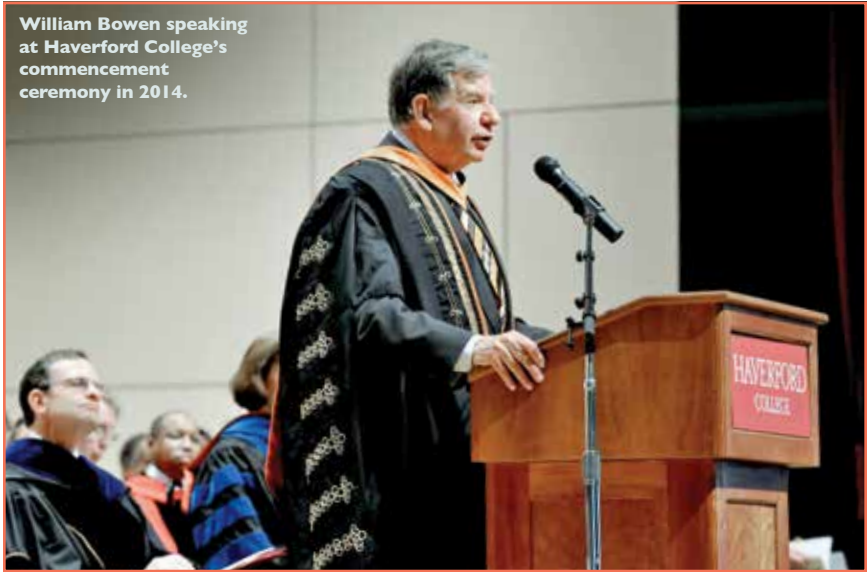
Chetan Kapoor, former chief scientist of robotics at the University of Texas at Austin, develops software at Yaskawa Innovation that allows more workers without high-end technical expertise to operate robots.

greater in many places than available seats, even as some smaller liberal arts colleges struggle to meet annual enrollment projections. Yet if the close to thirty million potential adult learners opted for college, the available seats would be hugely insufficient. Some schools may therefore experiment with hybrid delivery models, and others may completely revisit the robustness of their continuing education platforms. Perhaps one or two may decide to completely revamp the academic year, asking why we start in September and end in May when our fixed costs and complexes have the capacity to run year-round. Conceivably, an entire new term could be added, affording a 25 percent increase in the student body.

Future work debates will also put new pressures on colleges and universities to offer solutions to the technology-labor conundrum. The complexity of the problem means solo teams of specialists will be insufficient. Complex problems require diverse teams. Universities can help by assembling cross- or interdisciplinary groups to develop across-the-board solutions. Artists, humanists, and social scientists must work with scientists, engineers, business leaders, and technologists. Together they may ask if a universal wage frees workers of the need to work or saddles them with a sense of lethargy and confusion about the purpose of life. Alternatively, they may ask if each digital turn is an advance or a trap that produces chaos. Or they may want to know how to rethink categories such as structural unemployment, gross domestic product, underemployment, and models of efficiency. More important, new groups will be called on to tackle the interplay between education, training, and retooling. All of these questions, alone or in combination, beg for the thoughtful, intelligent approach of scholars prepared to ask difficult questions and propose sensible, workable solutions. That is the demand of future work if we are to devise a world that is neither Frankensteinian scary nor Jetsonian cartoonish. And if we are to create a world in which we tackle the vexing elements of “Grand Challenges”—those gnarly, difficult issues that demand new solutions.

Our Future Work

The Foundation continues its future work as well. At the board level, we continued the generational shift with the election of L. Rafael Reif, the seventeenth president of the Massachusetts Institute of Technology (MIT), as the newest trustee. An electrical engineer by training, Reif began his academic career at MIT in 1980; over the course of more than three decades he has



been a faculty member, department head, provost, and, since 2012, president. He has dedicated his presidency to addressing how best to effectively educate students in the twenty-first century.

In adding one institution's president to the Foundation, we sadly said farewell to another. William G. Bowen, the fourth president of The Andrew W. Mellon Foundation as well as president emeritus of Princeton University, died on October 20, 2016, after battling cancer. Bill Bowen is remembered for his enlightened leadership at Mellon and for his willingness to think big. He oversaw a period of profound growth in the size of the staff and the endowment. A catalogue of initiatives undertaken during his tenure reads as a document of philanthropy in the service of society. Made aware of the discrepancy between the removal of racial barriers for inclusion and the diversification of the professoriate, he partnered with Henry Drewry to launch the Mellon Minority Undergraduate Fellowship Program (MMUF; later renamed the Mellon Mays Undergraduate Fellowship Program) in 1988. Now in its twenty-ninth year, the MMUF program has selected more than 5,000 fellows, produced more than 700 PhDs, added more than 100 tenured faculty to the higher education system and 300 faculty overall, and has another 600 students enrolled in doctoral programs. Concerned about the escalating costs of scholarly journals and interested in the ways technology

could be harnessed to aid the distribution of scholarship, Bill invested in the creation of JSTOR, a global academic journal distribution system. Today JSTOR and ARTSTOR, a program to distribute authoritative art images through a digital platform, are a part of ITHAKA, a research and social solutions company, on whose board he served for many years. It was Bill's indefatigable embrace of the possible that steered him and the Foundation during his tenure. He authored or coauthored seminal texts on educational opportunity, sports and academics, and governance, always insisting on research's role in improving the human condition.

As was true during Bill's time, research continues to inform decision-making at Mellon. We didn't begin the year focused on future work, but our grantmaking nonetheless supported those who did. Programmatically the future includes new grantmaking to universities in Africa outside South Africa. By most demographic projections, the continent will be home to more than two billion people by midcentury,¹² this after the devastating scourge of HIV/AIDS. Tech start-ups recognize that talent is globally distributed even as access to education and employment is not. One such company has made a practice of identifying coders across Africa and connecting them with employers elsewhere. As this example suggests, the demand for education and opportunity will likely increase as additional demographic changes occur.

Our International Higher Education and Strategic Projects (IHESP) area, wanting to prepare a professoriate for those future populations, initiated a pilot in Uganda and Ghana. The pilot aims to produce a new generation of scholars, educated in the arts and humanities, to service the two countries and others across the continent. The partnerships planned with Makerere University in Uganda and the University of Ghana-Legon augment longstanding work with seven South African universities. To further enhance this work, we moved our ongoing involvement with the American University in Cairo and the American University of Beirut from the Higher Education and Scholarship in the Humanities (HESH) program area to IHESP. At the same time, we made new grants to The Arab Council for the Social Sciences (ACSS), the Council for the Development of Social Science Research in Africa (CODESRIA), and the African Research Universities Alliance (ARUA). Saleem Badat, IHESP's program director, believes the combination of support for specific African research universities



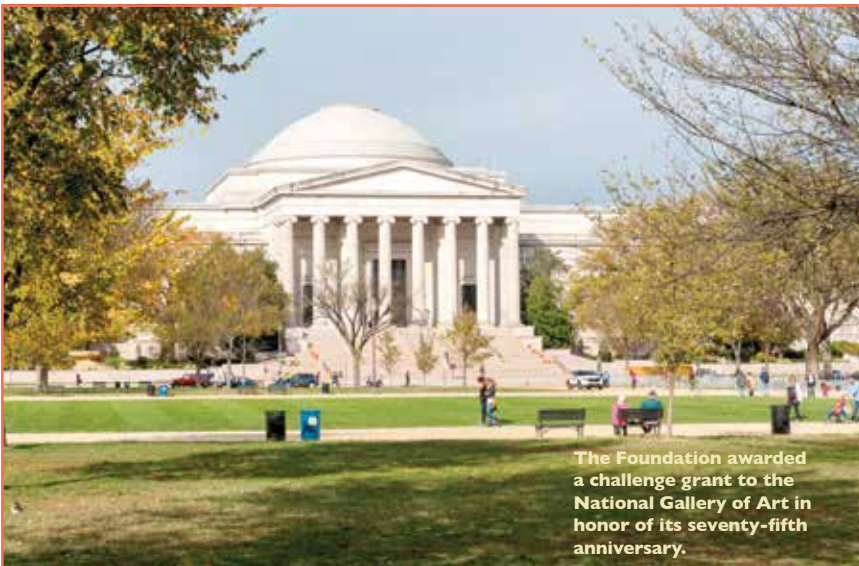
and nongovernmental organizations will densify relationships, thereby increasing the likelihood of exporting best practices across the continent.

After several years of planning, the first volume in a book series on the relationship between diversity and prosperity appeared. The book bore the name of the overall series, *Our Compelling Interests*, and was edited by Nancy Cantor, chancellor, Rutgers University-Newark and myself, with essays from William H. Frey, Brookings Institution, Thomas J. Sugrue, New York University, Danielle Allen, Harvard University (and Chair of the Mellon Board), Anthony Carnevale and Nicole Smith, Georgetown University, and commentaries from Kwame Anthony Appiah, New York University, Patricia Gurin, University of Michigan, Ira Katznelson, Columbia University, and Marta Tienda, Princeton University. Noting the coming demographic transition that, on current trendlines, should produce a nonwhite majority by midcentury, the volume and the series ask, how do we define diversity, leverage it for the common good, and value its importance for fostering a flourishing and prosperous democracy? Feedback from events at the National Press Club in September and the New York Public Library in December suggest the series is not only timely, but a critical component of an emerging awareness that numerical diversity is not the same as sustaining a diverse, democratic society.

In 2016 the Foundation also formally launched the first of four possible research fora. Called the Mellon Research Forum, the initiative seeks to grapple with a difficult question, and aided by an external advisory board, develop a plan to support teams of researchers over several years to independently research critical aspects of the question. The inaugural forum seeks to explore the value of a liberal arts education.

A select number of grants linked the past to the future. Before his death in 1937, our Foundation's namesake, Andrew W. Mellon, engineered the creation of the National Gallery of Art (NGA) in Washington, DC as a private-public partnership. Over the years, the Foundation has supported time-limited projects at the NGA, and at seminal moments, larger efforts. In 2016, the National Gallery of Art marked one of those seminal moments: its seventy-fifth anniversary. The Mellon Foundation was pleased to support the NGA's future through a \$30 million dollar grant with a matching component. We also supported projects to highlight the importance of the National Endowments for the Arts and Humanities on the occasion of their fiftieth anniversaries.

Elsewhere in this report you will find more detailed accountings of grantmaking in each programmatic area. Generally, several overarching observations can be made. The integration of the formerly parallel research



university and liberal arts colleges program is complete. HESH continues to support research universities and liberal arts colleges, but more than ever, we see grants that address cross-sectoral alignments. A third-quarter grant to the University of California at San Diego and the San Diego Community College District and a fourth-quarter grant to the Community College System of New Hampshire and the University of New Hampshire to forge new partnerships are indicative of this. We have found that on many campuses as many as 40 percent of the humanities graduates began their postsecondary education at two-year institutions. Linking two- and four-year schools is a way of cementing new alliances and smoothing the pathway for students seeking to major in the humanities. As important, new pathways to a college degree may factor in preparing more students for the demands of work in a technologically driven knowledge economy.

Community colleges offered one new pathway for us, prison education another. Such programs combine exposure to the arts and humanities with training for post-incarceration employment possibilities. Most notable was a first-quarter grant to the Opportunity Institute. Here we partnered with the Ford Foundation and seven others to support a prison-education initiative in California by the community college and California State University systems. The United States has only about 5 percent of the world's population but more than 20 percent of the world's prisoners.¹³ That means more than two million people are incarcerated and another 4.7 million are on probation. Study after study shows recidivism decreases and successful reintegration into society increases when prisons allocate resources to educate and not just punish. The Renewing Communities initiative provides support for college readiness courses, academic placement, financial and career counseling, re-entry services, and evaluation.

The theme of diversity and capacity building found additional expression in this year's grantmaking and speaks to a particular kind of future work for the Foundation and its grantees. Predicted changes in the composition of the workforce require planning, today. During the second quarter, the Arts and Cultural Heritage (ACH) program renewed a grant to the Los Angeles County Museum of Art for the Mellon Undergraduate Curatorial Fellowship. Across town, at the University of California at Los Angeles (UCLA), we supported piloting workshops and internships between the Getty and UCLA to expose more diverse communities of students to archeology and conservation. In

September ACH aided the Smithsonian with a grant that further expanded opportunities for diverse candidates in the conservation area.

Diversity has not only been examined in terms of people and backgrounds but in terms of institutions and viability. In December the ACH team recommended augmenting a previous Comprehensive Organizational Health Initiative by adding a new group of grantees. The project's goal remains the same: broaden access in underserved areas, create more equitable systems of support for artists, preserve creative accomplishment, and strengthen community participation. They also called for more attention to emergency preparedness in the arts world, protections for the world's artistic patrimony, and concern for intergenerational talent development in a range of artist areas.

This essay began with a nod to the confluence of factors that stem from the expansion of digital tools and devices. Scholarly Communications (SC) sits at the nexus between an older analog approach and a newer, ever changing digital approach. Grants in March to Cornell and Stanford Universities illustrate the challenges and opportunities. Many campuses have robust collection guides for circulating and noncirculating materials. Yet there is no easy way at present to take the specialized content at one university and link it to materials about the same author found elsewhere on the web. There is the problem of authentication, making sure that the John Smith in one collection is the same John Smith found at another site. By utilizing linked open data (LOD) technologies, the schools hope to lead an effort that makes aggregating such sources and sites possible in the future.

**Work in the future
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A good deal of work in the future will necessitate a new exploration of knowledge production. SC continues to explore the best ways of publishing scholarly work in electronic form. A spate of grants in December underscore our sense that continued experiments are warranted. Support to the University of Connecticut helped launch the Greenhouse Studios/Scholarly Communications Design, which moved projects from conception to design to product through an iterative process. In the meantime, the Foundation partnered with the National Endowment for the Humanities to produce a research pipeline for university presses through a fellowship program designed to invite and validate new kinds of academic publishing.

While diversity has emerged as a crosscutting focus area for the Foundation, the Diversity program area continues its stellar work in several domains. The MMUF program remains a stalwart example of the systemic benefits derived from staying the course, and generating successive cohorts of PhD holders prepared to join the ranks of the professoriate. In addition, the program teamed with colleagues in HESH to underwrite faculty diversity plans at a number of universities—for example, the University of Chicago, Dartmouth College, and Brown University. For years hiring decisions have rested with faculty. With faculty turnover averaging between 3–7 percent per year, notwithstanding universal pronouncements that diversifying the faculty is a priority, few schools have made the progress they profess to seek. Cluster hiring, assistant professorships paired with entry postdoctoral appointments, curricular innovations, and renewed discussions of institutional priorities have emerged as new approaches garnering Mellon support, with each suggesting workable, replicable solutions.

What is the Future of Work?

Progress is at times an elusive pursuit. We can measure improved productivity, greater efficiency, expanded opportunity and equality—but is that progress? In the stories we have told over several generations, progress seems wedded to new tools that spare humans of the need for mundane duties. Those stories and themes also unearth a fear about continued relevancy and purpose. From the chores we assign the young child to the first job held by a teenager to the first paycheck earned by a high school or college graduate, we have rehearsed the value of work. So as we look to the future, imagine a decade or two from now, what is the future of work? This is a question demanding serious attention now. In all likelihood, this future will be neither utopic nor dystopic but rather reveal a complex set of choices that cleave at the social fabric, threatening to fracture the body politic. Perhaps now is the time to ponder future work so that we can be the architects of the world we seek to inhabit rather than the victims of the future we casually create. The Mellon Foundation seeks to work with others poised to design that future.

Earl Lewis

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- 2 See Martin Neil Baily and Barry P. Bosworth, "US Manufacturing: Understanding Its Past and Its Potential Future," *Journal of Economic Perspectives* 28, no. 1 (Winter 2014): 3–26.
- 3 Kim Tingley, "Learning to Love Our Robot Co-Workers," *New York Times Magazine*, February 23, 2017, <https://www.nytimes.com/2017/02/23/magazine/learning-to-love-our-robot-co-workers.html>.
- 4 For a broad treatment of this subject, read Barbara Ehrenreich, "Divisions of Labor," *New York Times Magazine*, February 23, 2017, <https://www.nytimes.com/2017/02/23/magazine/american-working-class-future.html>, as well as Gideon Rose, "Hi, Robot," *Foreign Affairs* 94, no. 4 (July/August 2015): 2–35.
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- 6 Anthony P. Carnevale, Tamara Jayasundera, and Artem Gulish, *America's Divided Recovery: College Haves and Have-Nots* (Washington, DC: Center on Education and the Workforce, Georgetown University, 2016).
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- 9 Studs Terkel, *Working: People Talk about What They Do All Day and How They Feel about What They Do* (New York: Avon Books, 1974), 340.
- 10 Terkel, *Working*, 553.
- 11 *Educational Attainment in the United States: 2016*, "Table 1. Educational Attainment of the Population 18 Years and Over, by Age, Sex, Race, and Hispanic Origin: 2016," (Washington, DC: United States Census Bureau, 2016), <https://www.census.gov/data/tables/2016/demo/education-attainment/cps-detailed-tables.html>.
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- 13 Roy Walmsley, *World Prison Population List*, 11th ed. (London: Institute for Criminal Policy Research, February 2016), http://www.icpr.org.uk/media/41356/world_prison_population_list_11th_edition.pdf; Danielle Kaebler and Lauren Glaze, "Correctional Populations in the United States, 2015," *Bureau of Justice Statistics Bulletin*, (Washington, DC: US Department of Justice, Office of Justice Programs, December 2016), <https://www.bjs.gov/content/pub/pdf/cpus15.pdf>.

Grants in the Architecture, Urbanism, and the Humanities initiative supported work in the global urban humanities.



The Mellon Foundation's strategic plan adopted in 2014 affirmed the Foundation's commitment to the vital role of the humanities and the arts in promoting human flourishing and the health of diverse and democratic societies. While the plan outlined thrusts of anticipated continuity and change in our institutional grantmaking, it also foresaw that the plan would benefit from new research initiatives on complex problems that beset the disciplines and sectors we support. Such research had been central to the practices of the Foundation during the presidency of William G. Bowen from 1988 to 2006. President Bowen studied topics that launched long-lasting Foundation commitments such as the Mellon Mays Undergraduate Fellowship program dedicated to making the American faculty more diverse. As his research legacy has served as a wellspring of inspiration and discussion, his passing in October 2016 was a moment of profound sadness as well as reflection for Foundation staff.

A renewed commitment to research that transcends individual institutions was implicit in the strategic plan's goal to advance "deep and broad public understanding of and support for the humanities, arts, diversity, and education, in the U.S. and internationally." Each of the five grantmaking programs identified areas where sustained research would be of special value, for example on structural problems in the American ecosystem of higher education, on the state of diversity and inclusive practices in the arts, on new potentials for digital tools and scholarly publication, and on inequality in the infrastructure of knowledge production around the world.

**A renewed
commitment to
research was
implicit in the
strategic plan.**

After the Foundation laid the groundwork in 2015 for more sustained investment in research that could both help inform the field and clarify grantmaking strategies, this past year we began to put these plans on a structural footing. The Foundation's effort to study, document, and debate the evidence for the value of diversity across many areas of our collective and individual lives, led by President Earl Lewis and Nancy Cantor, chancellor of Rutgers University-Newark, saw early milestones with the publication of a first volume of essays, *Our Compelling Interests*, by Princeton University Press; public conversations about the papers in the book; and the development of manuscripts for several forthcoming titles in the series.

Mellon Research Forum

In 2016 the Foundation also developed a framework for the Mellon Research Forum, an umbrella organizational form for the pursuit of thorny research questions of the kind indicated previously. The Research Forum will identify and define such problems, break them down into plausible components, and, over a period of five to eight years, fund multidisciplinary studies that will yield data and interpretive answers that can clarify obstacles and solutions. The Forum will publish results over the course of the initiative, and invite discussion and debate of the findings. Throughout, social scientists and humanists involved in the research will consider pragmatic implications of their work, and, in consultation with policy experts, develop recommendations for action by institutional leaders, public and private funders, and stakeholders such as students or audiences. The Foundation's research efforts will have a reflective and formative relationship to our grantmaking programs, but also maintain appropriate investigative independence. President Lewis and I will jointly oversee these research initiatives.

In close consultation with dozens of field leaders in higher education, the Foundation began to define the first of the research initiatives to be undertaken by the Mellon Research Forum. The initial constellation of projects will be dedicated to the evidence that exists or could be generated about the value and effectiveness of a liberal arts education. While it is usually assumed that such an education prepares individuals to be well-rounded members and leaders in our society, democracy, and economy, it is clear that the evidence of these effects continues to be subject to skepticism and outright claims of irrelevance. Mounting student debt, sluggish economic growth, and prolonged student dependence on parental support have reinforced such doubts. The Foundation has had a longstanding commitment to liberal arts education in its various institutional forms, but also supports justifiable calls for clearer evidence of the efficacy of this form of education, a better understanding of how it actually works, and creative ideas about how it might be delivered more equitably. To structure and oversee the research, the Foundation constituted an advisory board co-chaired by Michael McPherson, an economist of higher education who is the outgoing president of the Spencer Foundation, and William Damon, a social psychologist of human development at Stanford University. The group began to craft a working topology of a liberal arts education, identify rubrics of educational practices and outcomes that

could be studied, and explore the longitudinal datasets that might be newly created. The Foundation commissioned review essays on prior research on viable measures of liberal arts outcomes. On the basis of these efforts, the Foundation hopes to support a number of studies that can contribute rich data and fresh perspective to the public discourse about what higher education should contribute to the preparation of citizens for a productive, satisfying, and engaged life.

The Year in Grants

Although the Foundation’s renewed investment in research is highly energizing to staff and will eventually inform our programs’ activities in new ways, grantmaking remains the frontline responsibility and operational mode of our five programs. In 2016, the Foundation awarded 414 grants for a total amount of \$286,473,300. The distribution of grants by size and by types of support is captured in Figures 1 and 2. As Figure 2 shows, 84 percent of the Foundation’s grants provided spendable support, and 16 percent provided endowment funds, usually with a matching requirement. The matching endowment component of our overall grantmaking was unusually high

Figure 1. Total 2016 Grants by Amount

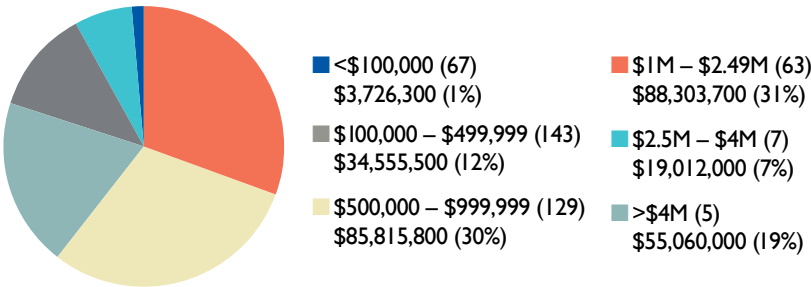
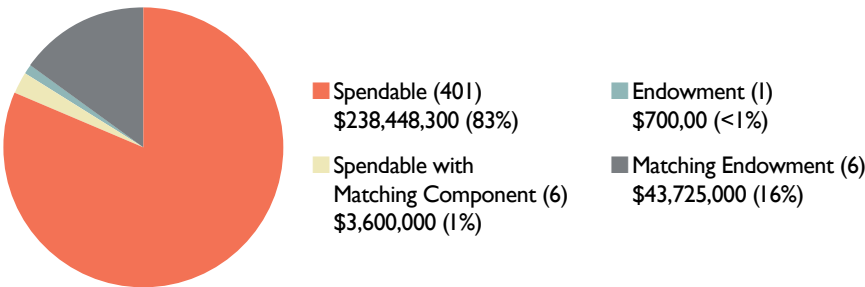


Figure 2. Total 2016 Grants by Grant Type



because it included a \$30 million challenge grant to the National Gallery of Art on the occasion of its seventy-fifth anniversary. The Gallery was first conceived by Andrew W. Mellon in 1936, and developed rapidly into a world-class museum for the nation with the vision and sustained support of his children Ailsa and Paul. While 371 grants were made to organizations based in the United States, 43 were made in countries abroad, including South Africa (19), Canada (6), the United Kingdom (5), Germany (3), and Lebanon (2). One grant each was made to institutions in Austria, Denmark, France, Hong Kong, the Netherlands, Senegal, Turkey, and the Vatican. Within the United States, grants were distributed across forty-one states, though through our regranting programs Foundation funds reached almost every state. Reviewing the year in relation to the goals of the Foundation's strategic plan, it is clear that initiatives foreseen in 2014 have begun to take hold, with almost 85 percent of grants made in support of work that is directly aligned with strategic objectives articulated in the plan. While any funder benefits from maintaining strategic focus, the Foundation's programs remain steadfastly open to ideas or findings that may suggest a need for adjustment of priorities, or that require a topical, one-off response to opportunities or challenges in the arts and humanities.

At Home in the World

As any humanist or artist will tell you, numbers matter, but the story they tell is partial at best, crude simplification at worst. In the following mini-essays, leaders of the five programs narrate the why of their priorities, and the how of their enactment through the remarkable organizations their grants supported in 2016. Acute social and political debates across the United States focused staff on the timeliness of certain initiatives that had already been in progress, including heightened commitments to diversity and inclusion across our programs, support for humanities pathways for disadvantaged constituencies in community colleges and other poorly resourced institutions, and expansion of work in support of high-quality college education in prisons.

Although investment in US-based programs will remain the core of our grantmaking, we believe that necessary attention to the domestic agenda should not have the unintended consequence of endorsing or fostering an

isolationist stance. American higher education, the humanities, and the arts have always benefited from international engagement and exposure to ideas from around the world. To begin to articulate better when and how we make grants that could be considered “international” we studied our long history of supporting programs that either are based abroad or entail significant collaborations between US and foreign institutions to be successful. One immediate outcome of this study was the decision to sustain our longstanding commitment to strengthening higher education as the bedrock of civil society in South Africa, extend that work to a couple of leading universities in East and West Africa, and also support new supranational initiatives to build capacity in the humanities and social sciences across the African continent. Saleem Badat, program director for International Higher Education and Strategic Projects, describes the implications of these decisions in his report. Other Foundation programs will from time to time make direct grants to international institutions or to American organizations that will distribute those resources abroad. Those cases will arise when our support would facilitate the accomplishment of our goals in ways that investment in a US-based program could not. In a world of interdependent countries and regions, globally connected problems, and a need for systemic and international solutions such instances may become more frequent in the years ahead, to the extent that our resources will allow.

Mariët Westermann

New College of Florida received support to strengthen and cultivate relationships with local colleges and arts organizations.



In 2016, Executive Vice President for Programs and Research Mariët Westermann and Senior Program Officers Eugene M. Tobin and Cristle Collins Judd led the program for Higher Education and Scholarship in the Humanities (HESH). HESH approached its grantmaking with a commitment to view higher education as an integrated whole, to work collaboratively with the Arts and Cultural Heritage, Diversity, and International Higher Education and Strategic Projects programs, and to maintain a careful balance between continuity and new initiatives. To inform HESH grantmaking, the program gathered grantees and higher education leaders for convenings on topics including faculty diversity, graduate education, community colleges, arts on campus, and public humanities.

In 2016 HESH supported a rich panoply of artistic, curricular, pedagogical, scholarly, and community-based initiatives to strengthen humanities teaching and learning at the undergraduate and graduate levels across all sectors of higher education. The grants reflected the emphases of the Foundation's strategic plan, including cross-cutting foci on diversity and inclusion, international collaboration, public humanities, and digital humanities along with programmatic interest in the renewal of doctoral education. A significant number of grants supported the efforts of organizations to offer timely responses to pressing social and humanitarian issues.

HESH grantmaking focused on three interrelated categories: (1) faculty and field development; (2) curriculum and pedagogy; and (3) special initiatives. Grants for faculty and field development included support for graduate education, postdoctoral and faculty fellowships, research collaborations, and new or emerging fields of study. Curricular grants responded to the collective focus of colleges and universities on integrating problem-solving, project-based, and community-based courses across the curriculum, using curricular and pedagogical renewal to create inclusive and integrated campus communities, and building new models of public engagement. Under the rubric of special initiatives, HESH awarded grants in thematic areas that included Architecture, Urbanism, and the Humanities; Arts on Campus; Community College and University Partnerships; Digital Humanities; Prison Education; and Public Humanities. While all of these initiatives had been foci of the Foundation's recent grantmaking, contemporary international and domestic events have refocused attention on Migration and Refugee Studies and Support, which is likely to remain a recurring thematic emphasis.

Faculty and Field Development

Doctoral education marks the entry point of disciplinary framing and new field development and HESH supported a range of initiatives that focused on early stage interventions, including curricular innovation, cocurricular training, cohort creation, public engagement, summer programing, and timely completion. Related initiatives aimed at helping diversify graduate admissions and providing opportunities for alternative forms of the dissertation and broadened career trajectories. These activities reflected ongoing conversations about the ecosystem of higher education, particularly the relationship between graduate school training, the future composition of the professoriate, and opportunities for careers in and outside the academy. A grant to Brandeis University renewed assistance for a program of “just-in-time” prospectus and dissertation seminars. The University of Notre Dame received a grant aimed at shortening time-to-degree, strengthening student preparation, and preparing PhDs for a range of careers. A grant to Tulane University created a program in publicly engaged scholarship for graduate students in the humanities, and Emory University received a grant to prepare students in the humanities to address contemporary problems in forms that are accessible to other areas of the university and to institutions of public culture. Increased interest in the value of digital media, data visualization, and graphic design led a growing number of universities to broaden graduate training. A grant to The New School enabled faculty in The New School for Social Research and in Parsons School of Design to develop a shared interdisciplinary curriculum, while Vanderbilt University launched a newly designed graduate program that integrated work in the digital humanities and enhanced the university’s capacity to serve as a regional hub for digital scholarship. Grants to the Newberry Library and the Pontifical Institute of Mediaeval Studies supported specialized training in paleography and manuscript studies. A grant to the Council of Graduate Schools supported the collection and use of data on humanities PhD career pathways.

The New Directions Fellowships and the Sawyer Seminars remain signature programs in the Foundation’s toolkit for supporting faculty and field development. Both programs recognize the necessity of multidisciplinary approaches to tackle the most pressing issues of our time and acknowledge the crucial importance of faculty leadership. New Directions fellowships were

awarded to twelve faculty members at liberal arts colleges and universities for topics that ranged from the international and cultural history of modernity and comparative work on medieval technology to the role of early twentieth-century mining engineers in the development of American capitalism, science, and foreign policy. Eleven research universities received Sawyer Seminar grants to support the comparative study of significant historical or contemporary issues such as comparative revolutions; environmental change; land use in the Middle East; and war, reconciliation, and commemoration. Other fellowships were administered by partner organizations of which the American Council of Learned Societies (ACLS) remains one of the most respected and valued. In anticipation of its Centennial campaign in 2019, ACLS received a matching grant to support vital fellowship programs and operating needs. The Social Science Research Council, American Historical Association, Council for European Studies, and the Universities of Michigan and Wisconsin at Madison received support for continuing fellowship programs.

Building and maintaining a diverse faculty is one of the most important challenges facing higher education, and aspects of this work were interwoven among many of the grants in the HESH portfolio, with support of postdoctoral fellowships as one key aspect. Grants to Brown and Southwestern Universities (the latter in collaboration with the University of Texas at Austin) provided support for postdoctoral fellowships for new PhDs from underrepresented minority backgrounds, in advance of the tenure-track positions they will hold following the fellowships.

Grants to the University of California at Irvine in support of the Humanities Research Institute serving the ten campuses of the University of California system and to the City University of New York's Graduate School and Center for the Humanities connect the humanities to critical grand challenge questions, while a grant to Northwestern University assisted in the creation of a Native American and Indigenous Studies Center. Under the broad umbrella of bringing the humanities to bear on pressing social issues, two grants took religion and religious conflict as a point of departure: the Centre for Research in the Arts, Social Sciences and Humanities at the University of Cambridge would examine how the university can explore religious diversity through a series of interlinked workshops, seminars, and summer schools; a grant to the Interfaith Youth Core funded a longitudinal survey of

student attitudes to determine the types of educational experiences that are most conducive to interfaith learning. A grant to the University of Oxford supported interdisciplinary research and teaching about race and gender at the undergraduate and graduate levels.

Curriculum and Pedagogy

Throughout 2016, colleges and universities integrated project- and community-based courses across the curriculum and used undergraduate research and inclusive pedagogies to support diversity, integrative learning, and community engagement. Grants to Beloit, Hendrix, and Lewis & Clark Colleges, and Clark and Wesleyan Universities were designed to make the learning environment accessible to all students. The Associated Colleges of the South and the Claremont University Consortium received grants that supported faculty adoption of inclusive pedagogies. A grant to Ripon College is facilitating the creation of a new curriculum focused on a problem-solving core with humanities at its center. As is often the case, distinctions between curriculum and pedagogy blur when diversity, inclusion, civic engagement, and digital tools are central to the development work. Bryn Mawr, Hope, and Kenyon Colleges, and Bucknell and St. Lawrence Universities received grants that support innovation and curricular change. Grants to Eugene Lang, Wheaton, and Colby Colleges reflected the creative ways in which faculty and students connect the humanities to civic engagement, career exploration, and the environment. Consortial grants to the University of Chicago, to Michigan State University and the Big Ten Academic Alliance, and to Five Colleges, Incorporated, supported new pedagogies and partnerships that offer language instruction across multiple campuses. Davidson and Middlebury Colleges received grants that address the curricular, pedagogical, and scholarly intersections of justice, inequality, and inclusion.

Special Initiatives

Renewal grants in the Architecture, Urbanism, and the Humanities initiative supported continued work in the global urban humanities at the Universities of California at Los Angeles and at Berkeley, the development of the Humanities Institute at the New York Botanical Garden, and ongoing work at Cornell University and the Canadian Centre for Architecture. A grant to the University of California at San Diego, in collaboration with community-

based organizations in the cities of Tijuana and San Diego, enables students and faculty to develop cross-border solutions to the challenges of uneven urbanization and socioeconomic inequality. The Massachusetts Institute of Technology received a grant to develop teaching materials for global architectural history. Rice University received a grant to integrate the historical, interpretive, and comparative tools of the humanities into a university-wide data science project.

HESH grantmaking continued to reflect the growing importance of partnerships between community colleges and research universities. The New Hampshire Humanities Collaborative, a partnership between the Community College System of New Hampshire and the University of New Hampshire, received support to develop a curriculum around grand challenge questions that can also facilitate credit transfer for community college students who transfer into humanities at the university. A pair of grants to the University of California at San Diego (UCSD) and the San Diego Community College District supports the transfer of community college students into humanities majors at UCSD and fosters collaboration on curriculum and pedagogy. Public engagement and the public humanities were interwoven in many of the grants supported by HESH. A range of institutions, including Colorado and Haverford Colleges, New College of Florida, and New York University received support to explore connections with surrounding community and cultural institutions, and to use art and material culture to nurture interdisciplinary inquiry, curricular innovation, and creative collaborations. HESH grants supported artistic residencies, performances, and collaboration with faculty in non-arts departments, and, in collaboration with the Arts and Cultural Heritage program, HESH supported efforts by presenting organizations to deepen curricular connections at the Universities of California at Berkeley, Illinois at Urbana-Champaign, Michigan, and North Carolina at Chapel Hill.

Prison education emerged as one of the most compelling special initiatives in HESH grantmaking. Even though a college education is one of the strongest predictors of success following release, significant numbers of incarcerated and formerly incarcerated people lack access to higher education. A grant to the Opportunity Institute emerged from a collaboration with the Ford Foundation and seven other partners to support a prison-education initiative

in California involving the community college and California State University systems and community organizations.

A recent report by the United Nations High Commissioner for Refugees indicated that more than sixty-five million people have been forcibly displaced in or outside their countries as a result of armed conflict, repression, natural disasters, and climate change. In response, the Foundation made three grants: to the Institute of International Education to provide support for Syrian students studying the humanities who seek to complete educations that have been disrupted; to Vassar College, in collaboration with Bard, Bennington, and Sarah Lawrence Colleges, to develop a consortium on forced migration, displacement, and education; and to the Mahindra Humanities Center at Harvard University to create a cross-university seminar on migration to explore how the humanities inform our understanding of the displacement, relocation, exclusion, and insecurity of refugees and undocumented immigrants.

Finally, in collaboration with the International Higher Education and Strategic Projects program, HESH made a number of grants reflecting the ways in which the humanities are crossing international borders, including support for a new partnership between the Jackman Humanities Institute at the University of Toronto and the Centre for Humanities Research at the University of the Western Cape; the creation of an International Consortium of Critical Theory Programs led by the University of California at Berkeley and Northwestern University; the continued work of the Consortium of Humanities Centers and Institutes at the University of Wisconsin at Madison, including its new regional humanities initiative in Africa; and two of the world's preeminent centers for Byzantine, Islamic, and medieval Turkish studies, at Harvard and Boğaziçi Universities, to train future scholars. Inter-regional collaborations were supported with grants to the Institute for Advanced Study to develop networks of scholars from Africa, the Middle East, and Latin America, and to the International Institute for Asian Studies to create collaborations involving Asian, African, European, and North American universities.

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES



- 1 The University of Wisconsin at Madison Engaging the Humanities initiative helps graduate students in the humanities explore rewarding careers beyond academia.
- 2 Jason Bell, director of Project Rebound at San Francisco State University, guides The Opportunity Institute's statewide effort to make California State University undergraduate programs accessible to currently and formerly incarcerated students.
- 3 Yale University Assistant Professor of Comparative Literature Ayesha Ramachandran, among the 2016 cohort of New Directions Fellows, will pursue linguistic training and research into the Persianate courts of the 16th and 17th centuries as they pertain to cross-cultural communication between Europe and the Middle East.
- 4 A new collaborative effort intends to strengthen and expand the pipeline of San Diego Community College District students transferring into humanities programs at the University of California at San Diego.
- 5 The New School for Social Research and Parsons School of Design received grant support to develop a shared interdisciplinary curriculum.
- 6 Cornell University Assistant Professor Tom McEnaney and student Alexandra Donovan in Central Havana, Cuba as part of the Mellon Collaborative Studies seminar in Architecture, Urbanism, and the Humanities.

ARTS AND CULTURAL HERITAGE

Early Morning Opera received a New England Foundation for the Arts National Theater Project grant to tour *The Institute of Memory (TiMe)* throughout 2016-17.



In 2016, the Arts and Cultural Heritage (ACH) program was led by Senior Program Officer Ella Baff and Program Officers Susan Feder and Alison Gilchrest. While the year in review describes the intentionality of the program's grantmaking, it also reflects the character and quality of the aspirations and achievements of the organizations with which it works. In 2016, ACH supported 115 such organizations across twenty-six states and three countries outside of the United States that served thousands of artists and culture workers as well as hundreds of thousands of people who participated in their programs. The emphasis of ACH grantmaking was on leadership and resilience in artistic achievement, creative practice, scholarship, preservation, civic engagement, and organizational health.

Organizational Health

"Continuity and Change: The Andrew W. Mellon Foundation Strategic Plan for Programs" set the stage for advancing ambitious ongoing and new initiatives. The Comprehensive Organizational Health Initiative (COHI), launched in 2014, builds organizational resiliency within the national arts ecosystem by broadening access to resources in underserved regions, creating more equitable systems of support for artists and cultural organizations, and strengthening community participation. Working with the Nonprofit Finance Fund, cohorts of organizations progress through a sequence of financial capacity-building strategies and receive infusions of capital, peer-to-peer learning opportunities, and individualized technical support. COHI grants in 2015 served eight American art conservation service organizations and six members of the National Performance Network/Visual Arts Network (NPN/VAN). In 2016, COHI expanded to cover six additional NPN/VAN members as well as the International Association of Blacks in Dance. As part of the ACH program's focus on organizational health, grants were also made to strengthen the infrastructure for emergency preparedness for the safeguarding of cultural heritage imperiled by natural or human-made disasters. While investment in the protection of material assets is common practice within collecting institutions, few performing arts organizations have developed plans to deal with potentially devastating emergencies. A grant to LYRASIS enabled implementation of a national program for disaster preparedness training for performing arts organizations in a partnership that includes the regional arts organization South Arts as well as several of the conservation centers in COHI.

New Work

Our commitment to the creation and development of new work continued with grants that supported opera, music, theater, and dance, as well as interdisciplinary art forms that assert their independence from any particular genre. A second round of the National Playwright Residency Program (NPRP), chosen through an open-application process, supported full-time salaries for a group of playwrights highly varied in terms of identity, artistic interests, and career stage. NPRP will embed them at nine theaters from Alaska to New Jersey, encouraging ambitious work as well as effective engagement within their theaters and with communities served; HowlRound at Emerson College will once again document the initiative. A grant to The MAP Fund supported a national regranting program for new works in interdisciplinary collaboration, technological innovation, and collaborations among artists from wide-ranging backgrounds. The MAP Fund is second only to the National Endowment for the Arts (NEA) as an open-submission grant program for contemporary work in the United States. Across the spectrum of arts, cultures, and communities, the Asia Society, the Bronx Museum of the Arts, Glimmerglass Opera Theatre, the Guthrie Theater, the Los Angeles Opera Company, the Network of Ensemble Theaters, New Music USA, New York Live Arts, and the Walker Art Center received support for new work development, artist residencies, and commissions to create new art and new forms.

Curatorship and Preservation

ACH grants also continued to fortify the field of curatorship and cultural heritage preservation, enabling institutions to assume leadership roles in filling critical gaps in knowledge, organizational capacity, and training. In indigenous and Native American arts, grants to The Denver Art Museum, American Museum of Natural History, Anchorage Museum, Wheelwright Museum of the American Indian, and the University of Oklahoma provided resources for research, scholarly and curatorial exchange, training and professional development, and conservation and interpretation of significant collections. The Museum of Modern Art received support to create layered training opportunities for practitioners in the conservation of complex new media art works. A grant to Dance/USA enables the organization to assume responsibility for preservation activities formerly administered by the Dance Heritage Coalition, which is disbanding. The Smithsonian's

Freer and Sackler Galleries received the final grant in the Foundation's five-year initiative to restore a training network for conservators of Chinese paintings in the United States.

Through a pair of grants the ACH program took significant steps to address the need for a greater plurality of participants in the preservation of the nation's diverse cultural heritage. At the Smithsonian, a grant for the National Museum of African Art to provide advanced training in African art conservation catalyzed an effort to provide subsidized undergraduate training internships across all of the Smithsonian's collections and laboratories that would help diversify applicant pools for graduate conservation programs. A grant to the University of California at Los Angeles to support a pilot program to introduce undergraduates from Native American, Chicano, and Latino communities to conservation practices had similar goals.

In 2016, the care and protection of art and culture around the world was a growing concern not only for objects, but also for endangered artists. A grant to the PEN American Center supported the implementation of a resource hub and central point of coordination for organizations around the world that provide services to artists at risk of persecution, violence, imprisonment, and death. This grant complements the Foundation's existing support of the Artist Protection Fund at the Institute of International Education, which provides fellowship grants to imperiled artists and places them at host universities and arts centers in countries where they can safely continue their work.

Freedom of Expression, Diversity, and Inclusion

The values of freedom of expression, diversity, equity, and inclusion that are ingrained in the ACH program were further articulated through several other grants. Penumbra Theatre Company, a Minneapolis-based African American company, received support for a facilitator training program designed to strengthen competencies in inclusion and equity practices, and to build a national network of facilitators who can be change-agents within their organizations. Hunter College, a flagship of public higher education, established a program in undergraduate arts fellowships aimed at diversifying New York City arts organizations, creating a pathway for careers in the arts. American Ballet Theatre received continued support for Project Plié, an initiative to encourage a more diverse range of people to pursue arts administration, partnering with professional ballet companies throughout

the United States. Support was also renewed for the Mellon Undergraduate Curatorial Fellowship program, a national initiative to diversify curatorial cohorts in American museums led by the Los Angeles County Museum of Art, and including the Art Institute of Chicago, High Museum in Atlanta, Museum of Fine Arts, Houston, and Nelson-Atkins Museum in Kansas City, Missouri. To improve pathways for musicians from underrepresented communities, several grants fostered infrastructure for identifying and supporting young high-potential musicians: the Settlement Music School of Philadelphia, for a collaboration with ten organizations in the Philadelphia Alliance for Youth that are dedicated to such work; Carnegie Hall, for NYO2, a junior national youth orchestra that will nurture musicians from underrepresented communities; Chicago Sinfonietta for Project Inclusion; and the Los Angeles Philharmonic for an institute supporting the most advanced students in its Youth Orchestra of Los Angeles. It is hoped that these grants, together with a pair of grants to the Sphinx Organization and the American Symphony Orchestra League, will help foster a new level of connectivity among local, regional, and national orchestras to increase diversity on their stages.

Traditional, Contemporary, and International Arts

In 2016, ACH supported several organizations dedicated to traditional and contemporary art forms in historically underrepresented communities. The National Association of Latino Arts & Culture in San Antonio established the Intercultural Leadership Institute (ILI) in collaboration with the First Peoples Fund (Rapid City, South Dakota), Alternate ROOTS (Atlanta), and the PA'I Foundation (Honolulu) to offer a leadership development program for artists, culture bearers, and arts professionals. While these organizations are grounded in distinct cultures and communities, their intercultural approach to leadership training emphasizes shared themes of social memory, history, cohabitation, and mutual accountability. ILI also aims to challenge dominant norms of the arts and culture field and guide it toward greater intercultural awareness and action. A first-time grant to the Caribbean Cultural Center African Diaspora Institute on the occasion of the establishment of its new home in East Harlem supported its public arts programs, cultural advocacy fellowships for emerging leaders, and multidisciplinary art exhibitions exploring East Harlem's identity.

Although the Foundation's grantmaking is concentrated in the United States, first-time grants to three organizations recognized the value of international

collaboration and exchange: the International Society for the Performing Arts (ISPA), to support its fellowship program and expand opportunities for emerging professionals from the Global South to attend the annual ISPA Congress; American Dance Abroad, to expand opportunities for American dance artists to connect with international presenters within and outside the United States; and Georgetown University's Laboratory for Global Performance and Politics, housed within the university's School of Foreign Service, to support programs that gather emerging artists from around the world, policymakers, scholars, and the public in Washington, DC. Renewed support was provided for the USArtists International regranting program at the Mid Atlantic Arts Foundation, a public-private partnership with the NEA that provides travel support for American artists to perform abroad.

Arts and Civic Engagement

Throughout the year, ACH responded to a growing national movement of art and civic engagement practice among cultural organizations and artists. Support was provided to Appalshop, a cultural anchor in rural Kentucky, for new play development about the demise of the coal industry in Appalachia, and for convenings on social and economic development in distressed rural and urban communities. A first-time grant to the Herberger Institute at Arizona State University launched an artist-led initiative to advance artistic development and explore new ways for the artistic process to engage civic partners and create more equitable communities, particularly in light of pronounced demographic changes in Phoenix and Tempe. In San Francisco, the Yerba Buena Center for the Arts received a first-time grant for a new initiative, The Creative Ecosystem, to advance the Center's participatory approach to art and civic engagement by connecting a wide range of artists, thinkers, activists, entrepreneurs, and community members around challenging questions of our time.

The work of the organizations that were supported in 2016 would not have been possible without the intrepid imagination and finely tuned sensibilities of artists. In addition to thousands of artists who were supported through grants to institutions and regranting programs, a first-time grant to United States Artists (USA) established an Andrew W. Mellon fellowship within USA's fellowship program, to be awarded annually to an artist in the performing or visual arts.

Milestones

The year in review would be incomplete without noting the Foundation's support of remarkable institutions in the cultural life of the country that celebrated landmark anniversaries. The National Gallery of Art, envisioned by Andrew W. Mellon and realized posthumously by his son, Paul Mellon, celebrated its seventy-fifth anniversary and received a major endowment challenge grant. With Foundation support, Carnegie Hall celebrated its 125th anniversary with an initiative to commission 125 new works from a diverse group of composers. A grant to the Mid-America Arts Alliance recognized the fiftieth anniversary of the NEA with a program designed to demonstrate how the arts contribute to the creative ecosystem of the nation by forging connections between the arts and non-arts sectors. The most powerful milestone for an American cultural institution in 2016 was not an anniversary, however, but a profound testament to 397 years of US history that began when the first enslaved Africans arrived at Jamestown. The opening of the National Museum of African American History and Culture in Washington, DC, supported with grants from the Mellon Foundation and many other donors in prior years, was an unforgettable and overdue rite of passage for the nation.

ARTS AND CULTURAL HERITAGE



- 1 With a U.S. Artists International grant—a program of the Mid Atlantic Arts Foundation—Mark Morris Dance Group will bring *Pepperland* to audiences in Liverpool, United Kingdom.
- 2 The National Museum of African American History and Culture opened to critical acclaim; a 2015 grant to the Smithsonian Institution had provided endowment support for the directorship and curatorial function.
- 3 Carnegie Hall will bring together outstanding young American instrumentalists from underrepresented communities in NYO2, a summer orchestral training program.
- 4 The National Playwright Residency Program supported ambitious and engaged creators, including Taylor Mac (pictured), at nine theaters from Alaska to New Jersey.
- 5 The Dia Center for the Arts received a grant to implement a new archives program and support scholarship of Dia's long-term work at the intersection of art, site, and environment.
- 6 Grant support was provided to Appalshop, a cultural anchor in rural Kentucky, to develop a new play about the demise of the coal industry.
- 7 Support was renewed for the Mellon Undergraduate Curatorial Fellowship program, a national initiative to diversify curatorial cohorts in museums led by the Los Angeles County Museum of Art.
- 8 Denene De Quintal, inaugural Andrew W. Mellon Postdoctoral Curatorial Fellow in American Indian Art, in the Native arts department at The Denver Art Museum.

In 2016, the Scholarly Communications (SC) program was led by Senior Program Officer Donald J. Waters and, until May, Program Officer Helen Cullyer. After eight years of devoted service to the Foundation, Ms. Cullyer became the executive director of the Society for Classical Studies. In August, Patricia Hswe joined the SC team as program officer, leaving Pennsylvania State University, where she had served as digital content strategist and co-department head of Publishing and Curation Services.

Under the Foundation's strategic plan, SC is focused on three major areas of emphasis: scholarly publishing, access and library services, and preservation. The strategic priorities in these areas are: (a) a multipronged program to develop infrastructure and business models for the production and dissemination of high-quality, web-based scholarly publications in the humanities; (b) initiatives that develop capacity within libraries, universities, and other cultural institutions to make collections and metadata broadly available and usable on the web; and (c) funding that accelerates the preservation of the scholarly and cultural record in all its forms, with particular emphasis on audiovisual media and web-based resources.

In each of these areas, SC launched a new grantmaking initiative in 2016. First, SC collaborated with the National Endowment for the Humanities to cofund three rounds of fellowship awards to assist scholars engaged in research projects that are best conceived, undertaken, and eventually published using nonprint, digital technologies. Second, the University of Miami received a grant as part of a joint initiative of SC and the Foundation's Arts and Cultural Heritage program to support collaborations between campus art museums and libraries that promise to enhance research and teaching uses of their collections. Third, the Council on Library and Information Resources (CLIR) received funding to administer a series of annual competitions designed to help support the preservation of the nation's imperiled audiovisual collections.

SC is focused on scholarly publishing, access and library services, and preservation.

During 2016 SC also continued to support previously launched initiatives. In its digital monograph publishing program, SC awarded funds to Johns Hopkins University for Project MUSE to develop a new service called MUSEOpen, which would host and disseminate titles being distributed on an open access basis; to The University of British Columbia, in collaboration with the University of Washington, for their presses to use the Mukurtu platform to

publish multimedia works in Native American Studies; and to Yale University for its press to develop further its platform for the publication of richly illustrated digital monographs in art and architectural history. Building on Foundation-funded models already under development at Brown University and the University of Illinois at Urbana-Champaign, both Emory University and the University of Connecticut received funds to support their faculties in the design and development of digital monographs, as well as to provide agent-like assistance in placing works with university presses. Meanwhile, George Mason University received a grant to explore how similar support services might be provided at a disciplinary, rather than institutional, level in the field of history. In addition, to help the nation's university presses become better prepared to expand the publication of digital monographs, SC made grants to the Association of American University Presses for the dissemination to its members of a methodology, originally developed by Ithaka S+R, to account for the costs of digital monographs; to the University of Michigan to map the emerging chain of distribution for these kinds of works from the publisher to the reader; and to Emory University for the development of model contracts between authors and presses for the publication of digital scholarship.

Making Digital Resources More Accessible

To help make digital resources in the humanities more accessible and useful to scholars and the public, SC provided new rounds of funding to CLIR for the hidden collections digitization and the data curation fellowship programs; to the American Council of Learned Societies for its digital extension program, which is designed to extend the reach of existing digital humanities projects to new users and contributors; and to Duke University for the Triangle Scholarly Communications Institute, which hosts teams of scholars, librarians, publishers, and others to work collaboratively on selected problems in scholarly communications. SC also made a series of grants for the development of core digital technologies in libraries and archives. For example, Stanford and Cornell Universities received support for national collaborations designed to apply the software and protocols of the semantic web and linked open data in library cataloging and access systems. Meanwhile, with Foundation funds, Johns Hopkins University and the Biblioteca Apostolica Vaticana will further develop and apply the International Image Interoperability Framework.

In its ongoing effort to strengthen key sectors within the academic library community, SC provided support for the Digital Public Library of America,

which will use Foundation funds to implement its business sustainability plans. SC also made grants to three independent research libraries. On behalf of the Folger Shakespeare Library, Amherst College received funds to develop and test a prototype platform on which the Folger plans to aggregate and integrate a variety of its currently distributed digital collections. With an award to Brown University, the John Carter Brown Library will expand its staff support for digital resources and scholarly projects. In addition, the Newberry Library will create an online resource for the study of handwriting practices in Italian manuscripts.

In the preservation area, CLIR received funds to explore the feasibility of establishing a Digital Library of the Middle East. With an SC award, the library of The University of Calgary is now determining how to preserve and provide access to the complete archives of EMI Music Canada, which Calgary recently acquired, and includes company records as well as tapes and discs of released and unreleased studio recordings by jazz, pop, rock, and classical artists. LOCKSS, or Lots of Copies Keep Stuff Safe, which is a networked, cooperative approach to digital preservation based at Stanford University, received support to upgrade its underlying technology. In addition, Old Dominion University, in collaboration with the Los Alamos National Laboratory and the New Mexico Consortium, is using its grant funds to develop prototype tools that would facilitate the preservation process as scholars publish articles, deposit software code, and upload presentations to the web.

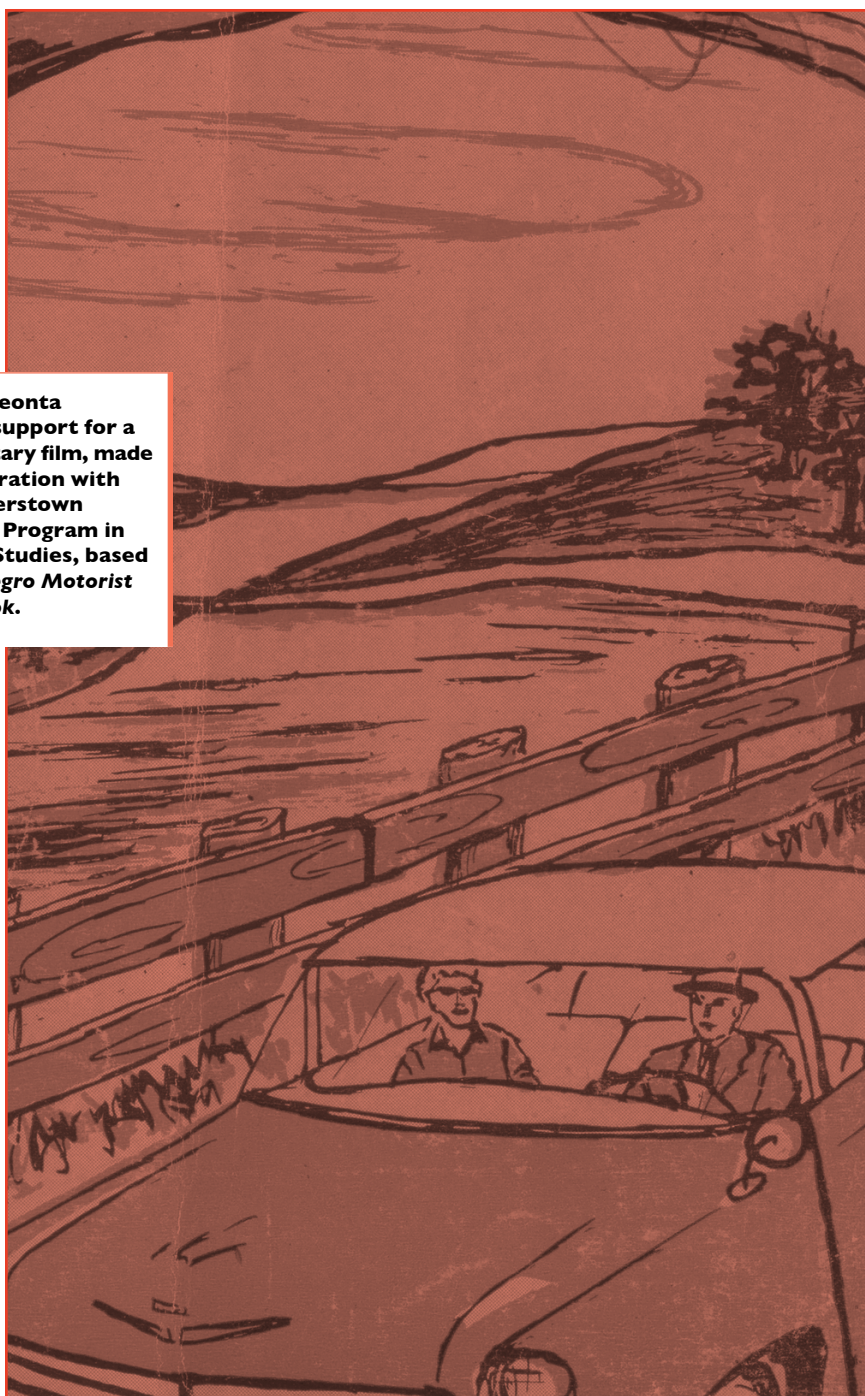
SCHOLARLY COMMUNICATIONS



- 1 Nicole Mitchell, director of the University of Washington Press, which, in collaboration with The University of British Columbia, received support for an indigenous studies digital publishing program with audio and video components (its first major multimedia project).
- 2 The British Library received support to enhance access to and preservation of audiovisual resources, a growing collections area and preservation concern.
- 3 Duke University's Triangle Scholarly Communications Institute hosts teams of scholars, librarians, publishers, and others to work collaboratively on selected problems in scholarly communications.
- 4 The Digital Public Library of America received support to implement its business sustainability plans.
- 5 The National Endowment for the Humanities-Mellon Fellowships for Digital Publication assists scholars engaged in research projects best pursued and published electronically; Kristin Lanzoni of Duke University received support for *Jacopo De' Barbari's View of Venice (ca. 1500): A Digital Exhibition Catalog*.
- 6 Henry Barrett Lovejoy, of the University of Colorado at Boulder, also received an NEH-Mellon Fellowship for Digital Publication to pursue *The Liberated Africans Project: A Digital Publication Documenting Emancipation Courts in Sierra Leone, 1808-1896*.

DIVERSITY

SUNY Oneonta received support for a documentary film, made in collaboration with the Cooperstown Graduate Program in Museum Studies, based on *The Negro Motorist Green Book*.



In 2016, the Diversity program was led by Armando Bengochea, who serves as program officer and director of the Mellon Mays Undergraduate Fellowship (MMUF) program. Mr. Bengochea is supported by Lee Bynum, senior program associate and associate director of MMUF. Now in its twenty-ninth year, MMUF is the model pipeline program for the Foundation's efforts to support diversification of the nation's professoriate. As of 2017, 705 fellows from forty-six colleges and universities and two consortia have earned doctoral degrees in the humanities or selected fields in the social sciences and sciences. Of these 705 fellows, 121 have earned tenure; 227 are in tenure-track positions; and 134 are currently postdoctoral fellows, visiting faculty, or instructors. Another 674 fellows are currently enrolled in PhD programs, and approximately forty-five to sixty graduate students complete the doctorate each year. Grants in support of related pipeline programs were made to the New York Public Library's Schomburg Center for Research in Black Culture for the continuation of its Humanities Summer Institute, and to The Library Company of Philadelphia for renewed support of a program for students particularly interested in pursuing work in early African American history. Pennsylvania State University received a grant to support programming to extend its department of philosophy's already noteworthy success in recruiting diverse entering cohorts of graduate students and supporting them to timely completion of doctoral degrees.

Each year the Diversity program makes grants to expand or enhance academic capacity at a select group of Historically Black Colleges and Universities (HBCUs). In 2016, funds were awarded to Tougaloo College to support the establishment of a multidisciplinary Institute for the Study of Modern Slavery; to Xavier University of Louisiana for general education reform and assessment; to Johnson C. Smith University in order to strengthen curriculum in the interdisciplinary humanities; and to Dillard University for faculty career enhancement programs and the development of its Honors Program. In the same vein, support was renewed to the United Negro College Fund (UNCF) for faculty career enhancement programs that benefit thirty-seven private HBCUs and include opportunities for faculty to participate in domestic or international summer seminars and teaching and learning summer institutes; to spend a summer residency at another institution; and to receive release time for research projects.

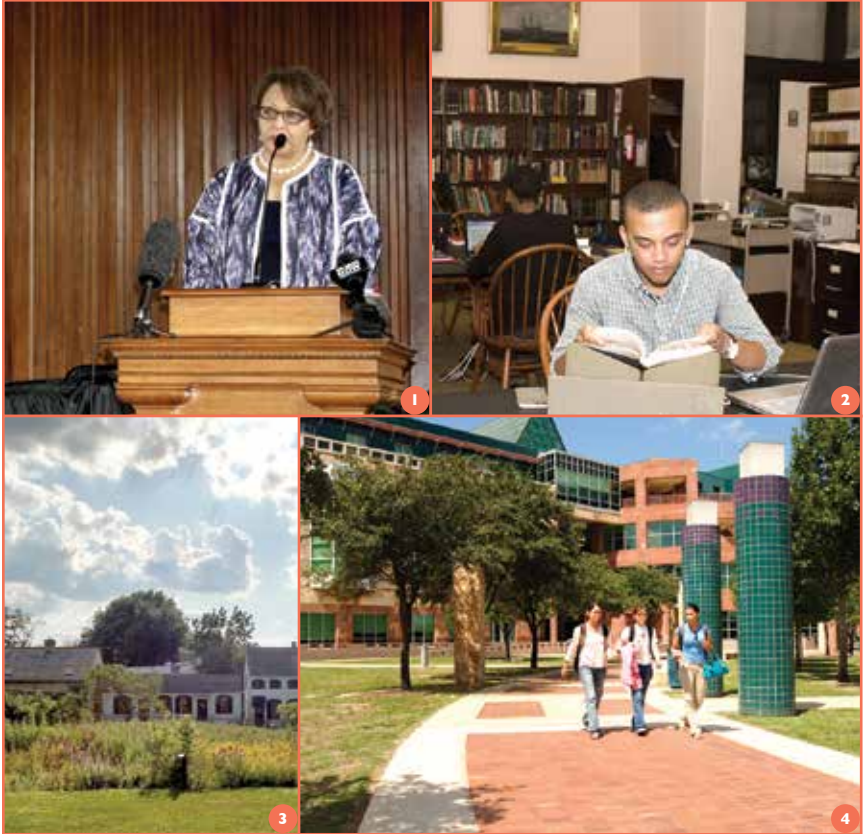
In addition to continued support of HBCUs, the Foundation's strategic plan calls for engagement with other Minority Serving Institutions, especially Hispanic-Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs). The Latina/o population in the United States continues to be one of the country's fastest-growing and youngest demographics, and it is critical that the future humanities professoriate incorporate greater numbers of Latina/o scholars. Grants were made in 2016 to two leading HSIs, the University of California at Merced and the University of Texas at San Antonio, to create opportunities for undergraduate research and preparation for the graduate school application process. Increasing the college-going rates of Native American students, meanwhile, is the goal of a grant to the American Indian College Fund (AICF). AICF's efforts will focus on improving Native students' rates of application to colleges, including TCUs, and on creating opportunities for students at two-year TCUs to transfer to four-year institutions. Finally, a grant to the American Philosophical Society (APS) for its Center for Native American and Indigenous Research will create opportunities for TCU faculty and students, Native faculty elsewhere, and other scholars working closely with Native communities to immerse themselves in the vast collections of the APS, with particular focus given to scholars doing work in support of Native language retention. Scholars and other participants may pursue new or ongoing research projects and will be required to share archival materials with the Native communities with which they work.

On the national level, many colleges and universities are making serious commitments to hire diverse faculty and support their early-career development. These efforts are often made in conjunction with curricular expansion, incorporation of emerging fields, or new institutional emphases on interdisciplinarity. Grants were made to support such efforts at the University of Chicago and Dartmouth College through the establishment or expansion of postdoctoral fellowship programs; to the Woodrow Wilson National Fellowship Foundation to establish a pretenure research award to history scholars who can also demonstrate a record of exemplary campus service, including in advising and mentoring; to Georgetown University for bridge support of new faculty positions and to establish postdoctoral fellowships as part of the creation of a department of African American Studies and two affiliated academic centers; and to selected institutions from the City University of New York system in support of yearlong research and writing seminars for junior faculty members. Finally, a faculty-development grant to

the University of California at Davis will support a series of meetings at Davis and three other University of California campuses to bring faculty together with consultants and university leadership in order to study graduate student selection processes from the point of view of diversity and inclusion goals.

Prompting and stimulating the general public's engagement with the arts and humanities is a principal Foundation goal and one critical to building a truly diverse and inclusive democracy in the United States. In 2016 the Diversity program pursued a number of opportunities to develop public humanities projects intended to enhance cross-cultural engagement and understanding. These included a grant to Columbia University's Interdisciplinary Center for Innovative Theory and Empirics to support the making of a documentary film about the meaning of whiteness in America that promises to engage various constituencies in a complex dialogue about race and identity. Another grant to the State University of New York at Oneonta supports the production of a documentary film, made in collaboration with the Cooperstown Graduate Program in Museum Studies, that will be based on *The Negro Motorist Green Book*, a popular guidebook published between 1936 and 1966 for a readership of African American motorists who were exploring interstate travel for the first time. A grant to the Weeksville Heritage Center in Brooklyn, New York, which preserves historical materials on what was one of the largest independent African American communities in pre-Civil War America, will broaden public access to this neighborhood's rich history through a combination of oral history, genealogy, storytelling workshops, lectures, and symposia. Finally, support was renewed for Community MusicWorks, a Providence, Rhode Island community-based arts organization that provides high-quality music education centered on college-bound mentoring for at-risk youths in several socioeconomically disadvantaged local communities.

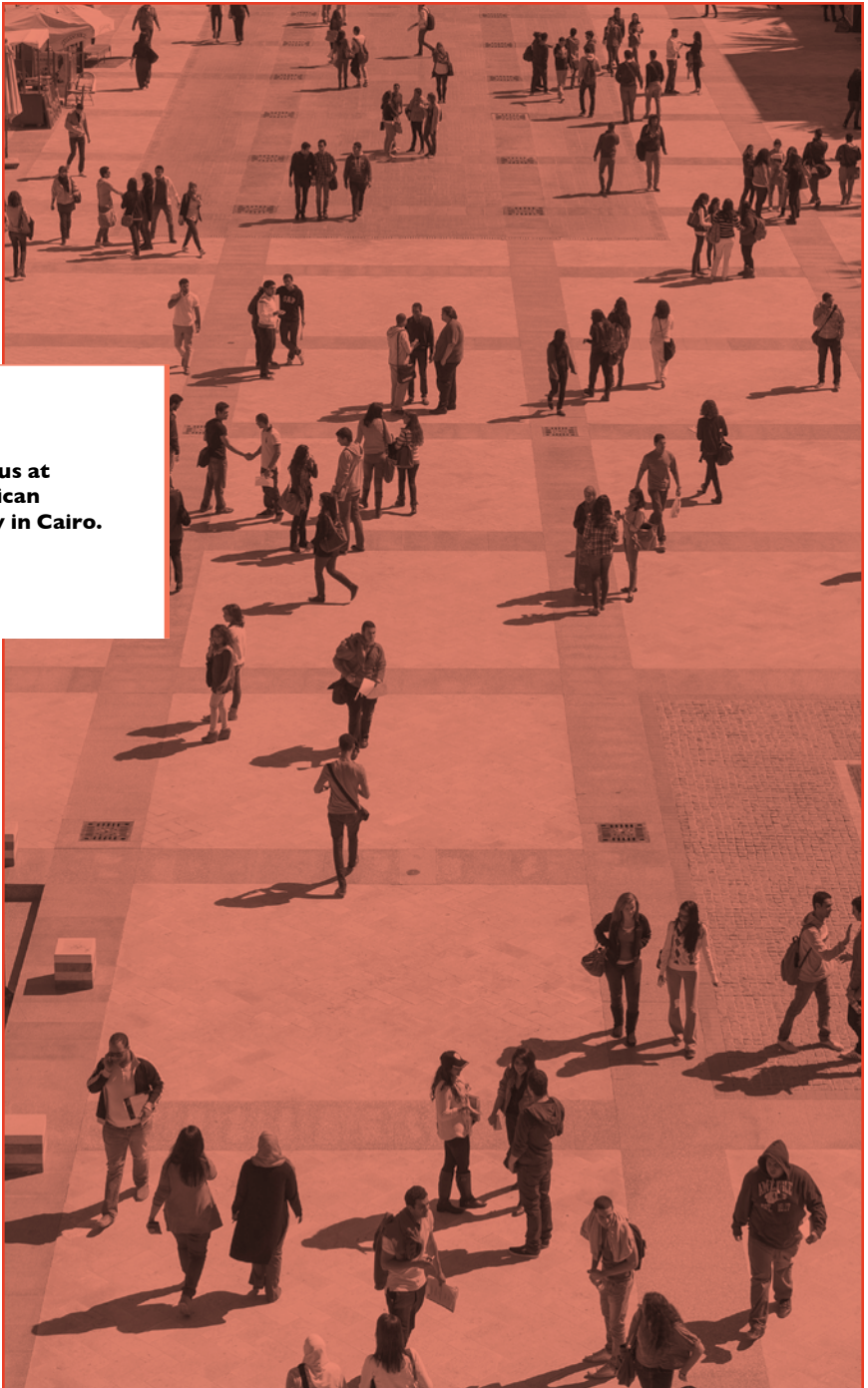
DIVERSITY



- 1 Tougaloo College President Beverly Hogan shares details about the new Institute for the Study of Modern Day Slavery.
- 2 A grant to The Library Company of Philadelphia renewed support of a program for students particularly interested in pursuing work in early African American history.
- 3 A grant to the Weeksville Heritage Center will help preserve historical materials related to one of the largest African American Communities in pre-Civil War America.
- 4 Grants to Hispanic-Serving Institutions, including the University of Texas at San Antonio, support undergraduate research and prepare students for the graduate school application process.

INTERNATIONAL HIGHER EDUCATION AND STRATEGIC PROJECTS

**The campus at
the American
University in Cairo.**



Led by Program Director Saleem Badat, with the support of Program Associate and Project Manager for the Foundation's Our Compelling Interests initiative, Doreen Tinajero, the International Higher Education and Strategic Projects (IHESP) program witnessed continuity and change in 2016. The program continued the renewal, revitalization, and consolidation of the Foundation's twenty-nine years of support for seven research universities in South Africa. Following the approval of the Board of Trustees, the program set into motion a broadening of support to universities and institutions beyond South Africa. Preparations were made to extend grantmaking to Makerere University in Uganda and to the University of Ghana; first-time grants were awarded to three institutions working across Africa and the Arab world; and the responsibility for grantmaking to the American University of Beirut and the American University in Cairo was transferred from the HESH program to IHESP. The focus for the next five years will be to contribute to building institutional capacities and individual capabilities at twelve universities in Africa and the Middle East, and to help strengthen key Pan-African and Pan-Arab institutions involved in higher education capacity building.

The support to South Africa and the new developments give expression to the Foundation's commitment to the arts, humanities, and higher education; to building durable universities characterized by outstanding teaching, learning, and scholarship, and effective scholarly communication; to creating favorable conditions for universities and institutions in Africa and the Middle East to participate in global networks of research and culture; and to supporting fragile democracies.

The IHESP program made ten individual grants totaling \$6.68 million to support the institutional priorities of seven South African universities. As a response to the call of the 2015–16 student protests for the “decolonization” of the curriculum, a group of three grants supported the efforts of universities to transform the curriculum in arts and humanities disciplines. Another three grants supported research and capacity building related to the arts and cultural production, including the establishment of a laboratory of kinetic objects and puppetry arts and a chair in aesthetic theory at the University of the Western Cape. A grant of \$1.99 million supported a collaborative program of Rhodes and Stellenbosch Universities, with the Universities of Cape Town, the Free State, Pretoria, the Western Cape, and the Witwatersrand (Wits), that has the aim of transforming the arts and humanities curriculum. Last,

three grants totaling \$1.89 million supported transnational partnerships between universities in South Africa with the rest of Africa, Asia, South America, and Europe. First-time grants totaling \$2.07 million were made to the Council for the Development of Social Science Research in Africa, the Wits University-managed African Research Universities Alliance, and The Arab Council for the Social Sciences.

The Foundation's other programs also continued to make grants that were international in character, particularly when such support was critical to advancing international collaboration in humanities research, art conservation, and the development of scholarly communications. Across all grantmaking programs, the Foundation in 2016 allocated approximately \$24.49 million to international grantmaking and support for international collaborations. The HESH program awarded approximately \$8.04 million. Significant grants included \$2 million to support a partnership with VolkswagenStiftung; \$1.3 million to the International Institute for Asian Studies; and \$2.54 million for global partnerships in the field of critical theory. The Arts and Cultural Heritage, Scholarly Communications, and Diversity programs' support of institutions internationally totaled over \$4 million.

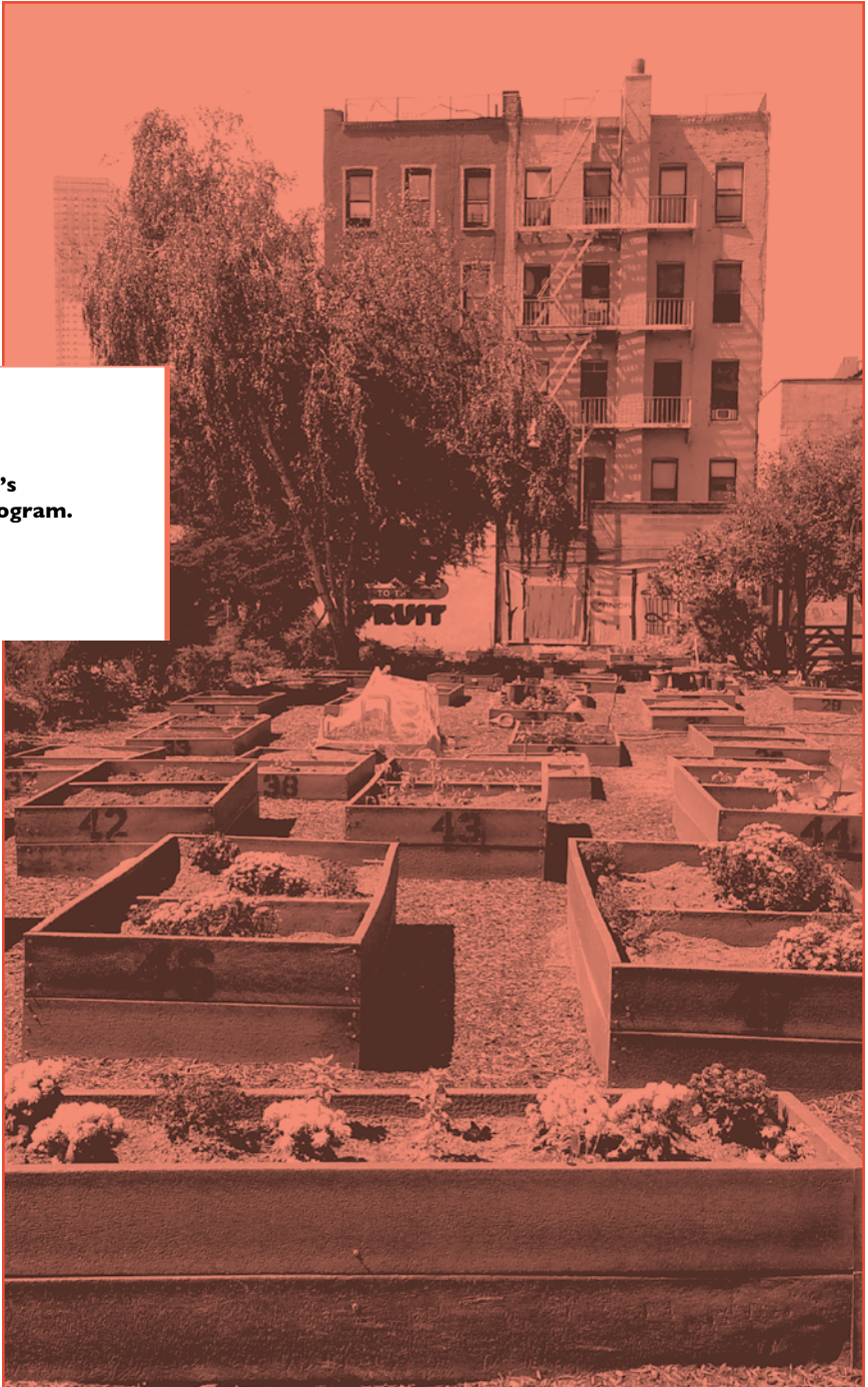
INTERNATIONAL HIGHER EDUCATION AND STRATEGIC PROJECTS



- 1 Preparations were made to extend grantmaking in Africa to Makerere University in Uganda and the University of Ghana (pictured).
- 2 Handspring Puppet Company cofounder Adrian Kohler with Souleymane Bachir-Diagne, a philosopher and former visiting scholar at the University of the Western Cape; a grant will support a laboratory of kinetic objects and puppetry arts and a chair in aesthetic theory.
- 3 As a response to student protests for the “decolonization” of the university, Rhodes and Stellenbosch Universities (pictured) will lead a collaborative program across seven universities aimed at transforming arts and humanities curricula.
- 4 Student protests in 2016 outside the South African Parliament in Cape Town.
- 5 College of Humanities and Social Sciences Principal Edward Kirumira and First Deputy Vice Chancellor Okello Ogwang meet with Program Director Saleem Badat and Executive Vice President for Programs and Research Mariët Westermann in preparations for a grant to Makerere University.
- 6 The American University in Cairo received a grant to support further development of its Humanities and Social Sciences Laboratory.

PUBLIC AFFAIRS AND CONTRIBUTIONS

**GrowNYC's
garden program.**



In 2016, the Foundation's Public Affairs grantmaking and Contributions continued to be overseen by Vice President, General Counsel and Secretary Michele S. Warman. Public Affairs grants and Contributions support nonprofit service organizations, charities benefiting local communities, and projects aligned with the Foundation's strategic priorities that do not fall neatly into its other program areas. In 2016, the majority of the Foundation's contributions, totaling \$320,000, were made to organizations that serve and strengthen the philanthropic sector. Contributions to Foundation Center, GuideStar USA, Inc., Nonprofit Coordinating Committee of New York, Inc., and Philanthropy New York supported information and capacity-building resources crucial for the field, while a contribution to Silicon Valley Community Foundation supported a convening of philanthropic leaders to discuss the opportunities presented by technological innovation to advance the public good. In addition, a contribution to GrowNYC provided support for New York City-based ecology and conservation programs.



Philanthropy New York enhances the ability of philanthropic organizations and individual donors to serve the public good.

**The Andrew W.
Mellon Foundation
awarded \$286,473,300
in grants in 2016.**



SUMMARY OF GRANTS AND CONTRIBUTIONS, 2016

	Payable and Committed at Dec. 31, 2015	2016 Grants and Commitments		Payable and Committed at Dec. 31, 2016
		Appropriated	Paid	
Higher Education and Scholarship in the Humanities	\$ 60,063,611	\$ 122,769,550	\$ 124,619,169	\$ 58,213,992
Arts and Cultural Heritage	50,289,968	95,271,550	104,406,852	41,154,666
Scholarly Communications	12,608,000	35,208,700	35,178,200	12,638,500
Diversity	6,850,000	20,753,500	18,547,000	9,056,500
International Higher Education and Strategic Projects	556,000	12,150,000	12,275,500	430,500
Conservation and the Environment	2,215,353	-	2,215,353	-
Program grants and commitments – totals	132,582,932	286,153,300	297,242,074	121,494,158
Contributions and matching gifts	-	1,138,684	1,138,684	-
	\$ 132,582,932	\$ 287,291,984	\$ 298,380,758	\$ 121,494,158

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES

		APPROPRIATED
Allegheny College Meadville, Pennsylvania		
To support planning for academic advising	\$	37,750
American Council of Learned Societies New York, New York		
To support continuation of the Frederick Burkhardt Residential Fellowship Program for recently tenured faculty in research universities and liberal arts colleges		8,220,000
To support core administrative operations and fellowship programs, and capacity building during a centennial capital campaign		8,000,000
To support a fellowship competition for scholarship in the humanities		2,935,000
To support renewal of the Postdoctoral Partnership Initiative		1,100,000
American Historical Association Washington, DC		
To support the broadening of graduate training and expansion of career horizons for PhDs in history		1,500,000
American Philosophical Society Philadelphia, Pennsylvania		
To continue support for a postdoctoral fellowship program with an emphasis on curatorship of historical collections		610,000
American University in Cairo New York, New York		
To support further development of the Humanities and Social Sciences Laboratory's activities		35,300
American University of Beirut New York, New York		
To support presidential initiatives		100,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
American University of Paris, Inc.	
Paris, France	
To support a civic media lab to integrate civic engagement, project-based pedagogies, digital technologies, social entrepreneurship, and design thinking into the curriculum	150,000
The Arab Council for the Social Sciences	
Beirut, Lebanon	
To support strengthening the arts and humanities at select universities in the Middle East and North Africa	500,000
Associated Colleges of the South, Inc.	
Atlanta, Georgia	
To support an initiative that expands training in inclusive pedagogy and collaborative instruction	2,700,000
Association for a UN Live Museum	
Copenhagen, Denmark	
To develop a strategy framework for developing content for the UN Live Museum for Humanity	150,000
Barnard College	
New York, New York	
To support a New Directions Fellowship	247,000
To support diversity and inclusion initiatives	150,000
Beloit College	
Beloit, Wisconsin	
To support a campus-wide program that strengthens diversity, inclusivity, and equity	600,000
Berea College	
Berea, Kentucky	
To support faculty-wide conversations about inclusive pedagogy	18,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
Boğaziçi University	
Istanbul, Turkey	
To support a collaboration between the Center for Middle Eastern Studies at Harvard University and the Byzantine Studies Research Center at Boğaziçi University	500,000
Boston University	
Boston, Massachusetts	
To support a Sawyer Seminar on the Comparative Study of Cultures entitled “Philosophy of Emerging Computational Technologies: Humans, Values and Society in Transition”	175,000
Bowdoin College	
Brunswick, Maine	
To support presidential initiatives	100,000
Brandeis University	
Waltham, Massachusetts	
To support graduate education program reform	700,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled “Forgotten Dreams and Misplaced Revolutions: Conceptualizing Twentieth Century Revolutions in Latin America, the Caribbean, and the Middle East”	175,000
Brown University	
Providence, Rhode Island	
To support postdoctoral fellowships in humanities and related social science disciplines in advance of the regular tenure-track assistant professor positions for which the fellows will be hired	1,500,000
Bryn Mawr College	
Bryn Mawr, Pennsylvania	
To support initiatives to promote the value of the humanities through developing critical skills, facilitating career exploration, and engaging faculty in the public humanities	800,000
To support a New Directions Fellowship	208,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
Bucknell University Lewistown, Pennsylvania	
To support innovative pedagogy combining teaching and research through the creation of a humanities teaching lab	600,000
Canadian Centre for Architecture Montreal, Canada	
To support initiatives at the intellectual and institutional intersection of architecture, urbanism, and the humanities	750,000
Centre College of Kentucky Danville, Kentucky	
To support multi-institutional collaboration	50,000
Claremont University Consortium Claremont, California	
To support consortial initiatives that expand training in inclusive pedagogy, collaborative instruction, and capacity building	1,500,000
Clark University Worcester, Massachusetts	
To support the introduction of inclusive and innovative pedagogy through an interdisciplinary, problem-based curriculum	620,000
Colby College Waterville, Maine	
To support the development of a campus-wide environmental humanities initiative	800,000
College of William and Mary Williamsburg, Virginia	
To support an initiative promoting engaged citizenship in the humanistic disciplines	150,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
Colorado College	
Colorado Springs, Colorado	
To support interdisciplinary engagement with the arts and culture of the Southwest	1,200,000
Columbia College	
Columbia, South Carolina	
To support the redesign of the core curriculum	100,000
Columbia University	
New York, New York	
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Global Language Justice"	175,000
Community College System of New Hampshire	
Concord, New Hampshire	
To establish the New Hampshire Humanities Collaborative to support the transfer of community college students in the humanities to the University of New Hampshire, and to develop a humanities curriculum focused on grand challenges	416,000
Connecticut College	
New London, Connecticut	
To support an integrative curricular initiative	750,000
Cornell University	
Ithaca, New York	
To support initiatives at the intellectual and institutional intersection of architecture, urbanism, and the humanities	1,100,000
Council for European Studies	
New York, New York	
To support dissertation-completion fellowships in European Studies	1,750,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
Council of Graduate Schools	
Washington, DC	
To support the collection and use of data on PhD career pathways in the humanities	750,000
Council of Independent Colleges	
Washington, DC	
To support two inclusive pedagogy institutes for faculty and administrators	800,000
To support coordination of a consortium for online humanities instruction	30,000
Davidson College	
Davidson, North Carolina	
To support a series of initiatives incorporating themes of justice, equality, and community into the curriculum	1,200,000
Dickinson College	
Carlisle, Pennsylvania	
To support the integration of community engagement into the curriculum	650,000
Duke University	
Durham, North Carolina	
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Corporate Rights and International Law: Past, Present, and Future"	175,000
Emory University	
Atlanta, Georgia	
To support graduate education program reform	1,500,000
Five Colleges, Incorporated	
Amherst, Massachusetts	
To support the study of less commonly taught languages	1,775,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
Georgetown University Washington, DC	
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Approaching the Anthropocene: Global Culture and Planetary Change"	175,000
Gettysburg College Gettysburg, Pennsylvania	
To support faculty diversity initiatives in the humanities	800,000
The Graduate Center of the City University of New York New York, New York	
To support a research seminar on the public humanities at the Center for the Humanities	415,000
Hamilton College Clinton, New York	
To support the Institute for Liberal Arts Digital Scholarship	40,000
Harvard University Cambridge, Massachusetts	
To support a university-wide humanities seminar under the auspices of the Mahindra Humanities Center	800,000
To support the final stages of an ethnographic study on the value of a liberal arts and sciences education	500,000
To support a New Directions Fellowship	300,000
To continue support for a summer school of theater and performance studies	300,000
To support a collaboration between the Center for Middle Eastern Studies at Harvard University and the Byzantine Studies Research Center at Boğaziçi University in Istanbul, Turkey	215,000
Haverford College Haverford, Pennsylvania	
To support a program of community and art collaborations to integrate the college with surrounding cultural organizations and create new structures for civic engagement	750,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
Hendrix College Conway, Arkansas	
To support diversity and inclusion initiatives	500,000
Hope College Holland, Michigan	
To support an initiative to reorganize the general education curriculum around project-based learning, collaborative research, and civic engagement	800,000
Institute for Advanced Study Princeton, New Jersey	
To support a Summer Program in Social Science aimed at scholars from the Global South	500,000
Institute of International Education, Inc. New York, New York	
To provide support for Syrian students in the humanities who seek to complete educations that have been disrupted by civil war	750,000
Interfaith Youth Core Chicago, Illinois	
To support a longitudinal survey of student attitudes about religious diversity	1,200,000
International Institute for Asian Studies, Leiden University Leiden, The Netherlands	
To implement a humanities-focused research program, Humanities Across Borders: Asia and Africa in the World	1,300,000
Kenyon College Gambier, Ohio	
To support innovative pedagogy through a digital storytelling initiative	400,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
Lake Forest College	
Lake Forest, Illinois	
To support the creation of an African American studies major and a tenure-track faculty position in African American history	600,000
Lawrence University	
Appleton, Wisconsin	
To support planning for an evidence-based pedagogy and curricular transformation project	70,000
Lehigh University	
Bethlehem, Pennsylvania	
To support presidential initiatives	100,000
Lewis & Clark College	
Portland, Oregon	
To support a program of innovative teaching and inclusive pedagogy	705,000
Marlboro College	
Marlboro, Vermont	
To support a visiting fellow in digital media	50,000
Marymount Manhattan College	
New York, New York	
To support presidential initiatives	50,000
Massachusetts Institute of Technology	
Cambridge, Massachusetts	
To support development and dissemination of materials for the teaching of global architectural history	1,500,000
Michigan State University	
East Lansing, Michigan	
To support an initiative to strengthen language instruction, in collaboration with the Big Ten Academic Alliance	1,200,000
To support a New Directions Fellowship	213,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
Middlebury College	
Middlebury, Vermont	
To support the continued recruitment and training of future faculty, in collaboration with Bates, Connecticut, and Williams Colleges, and through cooperation with Columbia University and the Universities of Chicago, Michigan, and California at Berkeley	703,000
To support an interdisciplinary sophomore seminar	400,000
To support presidential initiatives	100,000
Muhlenberg College	
Allentown, Pennsylvania	
To support presidential initiatives	100,000
Museum of the City of New York	
New York, New York	
To support continuation of predoctoral fellowships in public history	490,000
National Academy of Sciences	
Washington, DC	
To support a study that would encourage the effective integration of the arts, humanities, and STEM subjects into undergraduate education	750,000
National Humanities Alliance Foundation	
Washington, DC	
To support a comprehensive report that documents higher education institutions' contributions to civic engagement and the public humanities	235,000
National Humanities Center	
Research Triangle Park, North Carolina	
To endow a fellowship program designated for scholars affiliated with liberal arts colleges	700,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
New College of Florida	
Sarasota, Florida	
To support initiatives to strengthen and cultivate relationships with local colleges and arts organizations to contribute to public discourse on the humanities and the arts	750,000
The New School	
New York, New York	
To support the Integrative PhD program combining doctoral training with digital design courses	750,000
To support Eugene Lang College's curricular initiative to deepen the connections between scholarship and public engagement	600,000
To support public dialogues about the evolution and impact of mass incarceration in the United States	150,000
New York Botanical Garden	
Bronx, New York	
To support the continued development of the Humanities Institute's fellowships, research and public programs, and outreach to diverse audiences	900,000
New York Council for the Humanities	
New York, New York	
To support fellowships for faculty and graduate students	100,000
New York Public Radio	
New York, New York	
To support the creation of a pilot podcast program exploring artists' and creators' peak moments of creativity	42,000
New York University	
New York, New York	
To support a center for the study of ballet as an art form and of its history in Western societies	2,000,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
Newberry Library Chicago, Illinois	
To support a series of summer training programs in vernacular paleography	900,000
Northwestern University Evanston, Illinois	
To support the strengthening of Native American and Indigenous Studies initiatives	1,500,000
To support the development of new curricula for critical theory	1,020,000
Oberlin College Oberlin, Ohio	
To support curricular revision and enhancement through programs focused on the connected learning experience	750,000
To support an initiative to strengthen and expand the study of music in the context of the liberal arts	150,000
Occidental College Los Angeles, California	
To support curricular and cocurricular programming to engage students and the community in the arts and humanities	800,000
Ohio Wesleyan University Delaware, Ohio	
To support institutional and curricular review, and faculty development workshops, to promote diversity and inclusion	25,000
Opportunity Institute Berkeley, California	
To support educational opportunities for incarcerated persons	750,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
Organization of American Historians Bloomington, Indiana	
To support technological, scholarly, pedagogical, and communicative improvements to the annual meeting	150,000
The Poetry Foundation Chicago, Illinois	
To support expansion and diversification of four initiatives dedicated to the role of poetry in communities	150,000
Pontifical Institute of Mediaeval Studies Toronto, Canada	
To support summer training programs in manuscript studies	600,000
Rhodes College Memphis, Tennessee	
To support a partnership with the National Civil Rights Museum to cocreate curriculum and programming designed to extend the reach of the liberal arts into the Memphis community	600,000
Rice University Houston, Texas	
To support initiatives at the intellectual and institutional intersection of architecture, urbanism, and the humanities	750,000
Ripon College Ripon, Wisconsin	
To support the implementation of a core curriculum employing liberal arts approaches to develop essential skills	800,000
Rollins College Winter Park, Florida	
To support presidential initiatives	100,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
San Diego Community College District	
San Diego, California	
To support the transfer of San Diego Community College District students in the humanities to the University of California at San Diego, and support their successful completion of the BA degree	1,170,000
Skidmore College	
Saratoga Springs, New York	
To support diversity and access to Skidmore's museum collections	840,000
Social Science Research Council	
Brooklyn, New York	
To support the International Dissertation Research Fellowship program for graduate students in the humanities and social sciences	4,500,000
To support doctoral and postdoctoral fellowship programs in the humanities and humanistic social sciences	3,000,000
Southwestern University	
Georgetown, Texas	
To support faculty diversity and inclusive pedagogy	500,000
Spelman College	
Atlanta, Georgia	
To support presidential initiatives	100,000
St. Lawrence University	
Canton, New York	
To support an initiative for second-year students linking seminars and courses with experiential learning opportunities	800,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
Stanford University	
Stanford, California	
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Digital Humanities Asia: Harnessing Digital Technologies to Advance the Study of East, South, Southeast, and Inner/Central Asia"	175,000
Swarthmore College	
Swarthmore, Pennsylvania	
To support presidential initiatives	100,000
Transylvania University	
Lexington, Kentucky	
To support an initiative focused on revitalizing the curriculum and developing a sustainable faculty development center	100,000
Trinity University	
San Antonio, Texas	
To support presidential initiatives	100,000
Tulane University	
New Orleans, Louisiana	
To support a program in engaged scholarship for graduate students in the humanities	1,500,000
Tuskegee University	
Tuskegee, Alabama	
To support presidential initiatives	100,000
Regents of the University of California	
Oakland, California	
To support a fellowship and residency program for Cal Performances	1,000,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
University of California at Berkeley	
Berkeley, California	
To support the establishment of an International Consortium of Critical Theory Programs	1,525,000
To introduce a global urban humanities certificate option for graduate students, create an interdisciplinary undergraduate program, develop a new emphasis on Oakland, and engage more senior humanities faculty in the initiative	1,500,000
To allow relocation of a meeting because of political upheaval in the original host country	6,000
University of California at Irvine	
Irvine, California	
To support the University of California Humanities Research Institute in pursuing experimental pedagogical research initiatives	1,500,000
University of California at Los Angeles	
Los Angeles, California	
To embed the urban humanities program into UCLA graduate and undergraduate curricula in a sustainable way and develop a new emphasis on urbanism in Los Angeles and Mexico City	1,650,000
University of California at San Diego	
La Jolla, California	
To support the transfer of San Diego Community College District students in the humanities to the University of California at San Diego, and support their successful completion of the BA degree	1,420,000
To support community-engaged research and teaching that models a new collaborative approach to university-community partnerships	1,000,000
To support a New Directions Fellowship	209,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
University of Cambridge	
Cambridge, United Kingdom	
To support a multidisciplinary examination of the interplay between religion, secularism, and the role of the university	920,000
University of Chicago	
Chicago, Illinois	
To support expanded language instruction of less commonly taught languages through distance learning technologies and consortial institutional collaboration	2,000,000
To support a New Directions Fellowship	197,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Urban Art and Urban Form"	175,000
University of Michigan	
Ann Arbor, Michigan	
To endow postdoctoral fellowships in the humanities through the Michigan Society of Fellows	1,000,000
To support a New Directions Fellowship	234,000
To support consultant services to advise on the appropriate business model for the Alliance for the Arts in Research Universities	44,500
University of Minnesota at Twin Cities	
Minneapolis, Minnesota	
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "The Politics of Land"	175,000
University of New Hampshire	
Durham, New Hampshire	
To establish the New Hampshire Humanities Collaborative to support the transfer of community college students in the humanities to the university, and to develop a humanities curriculum focused on grand challenges	408,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

APPROPRIATED

University of North Carolina at Chapel Hill

Chapel Hill, North Carolina

To support a fellowship program for Carolina Performing Arts	1,000,000
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University of Notre Dame

Notre Dame, Indiana

To support graduate education program reform	1,500,000
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University of Oxford

Oxford, United Kingdom

To support an interdisciplinary research initiative at The Oxford Research Centre in the Humanities focused on diversity and difference in the academy	600,000
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To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Commemoration, Reconstruction, Reconciliation"	175,000
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University of Richmond

Richmond, Virginia

To support presidential initiatives	100,000
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University of Texas at Austin

Austin, Texas

To support a New Directions Fellowship	227,000
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University of Toronto

Toronto, Canada

To support a collaboration with the University of the Western Cape that comprises exchanges of faculty and graduate students, workshops, and seminars that will explore the theme of aesthetic education	390,000
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University of Virginia

Charlottesville, Virginia

To support a New Directions Fellowship	177,000
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HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
University of Washington Seattle, Washington	
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Capitalism and Comparative Racialization"	175,000
University of Wisconsin at Madison Madison, Wisconsin	
To support collaborative international research in the humanities	1,350,000
To support the university's Engaging the Humanities initiative	1,100,000
To support a new regional humanities initiative in Africa	500,000
Ursinus College Collegeville, Pennsylvania	
To support presidential initiatives	100,000
Vanderbilt University Nashville, Tennessee	
To support a new center for digital humanities	1,500,000
Vassar College Poughkeepsie, New York	
To support the Consortium on Forced Migration, Displacement, and Education	136,000
VolkswagenStiftung Hanover, Germany	
To support postdoctoral fellows from US universities to spend up to eighteen months at institutions of higher education in Germany	2,000,000
Washington & Jefferson College Washington, Pennsylvania	
To support the redesign of the first-year seminar	250,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES (CONTINUED)

	APPROPRIATED
Washington College Chestertown, Maryland	
To support presidential initiatives	100,000
Washington University in St. Louis St. Louis, Missouri	
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Grounding the Ecocritical: Materializing Wastelands and Living on in the Middle East"	175,000
Wesleyan University Middletown, Connecticut	
To support inclusive and innovative pedagogy	750,000
To support a New Directions Fellowship	255,000
Wheaton College Norton, Massachusetts	
To support faculty development and off-campus programs integrating experiential learning into the arts and humanities curriculum	500,000
Whitman College Walla Walla, Washington	
To support presidential initiatives	100,000
Whittier College Whittier, California	
To support substantial curricular revision and enhancement	700,000
To support the integration of the humanities throughout the business curriculum	250,000
Williams College Williamstown, Massachusetts	
To support a New Directions Fellowship	240,000

HIGHER EDUCATION AND SCHOLARSHIP IN THE HUMANITIES
(CONTINUED)

	APPROPRIATED
Wilson College Chambersburg, Pennsylvania	
To support a writing program	100,000
Yale University New Haven, Connecticut	
To support a New Directions Fellowship	271,000
Total—Higher Education and Scholarship in the Humanities	\$ 122,769,550

ARTS AND CULTURAL HERITAGE

	APPROPRIATED
The American Architectural Foundation, Inc. Washington, DC	
To support data collection and analysis for the Save America's Treasures grant program	\$ 100,000
American Lyric Theater Center, Inc. New York, New York	
To support the Composer Librettist Development Program	50,000
American Museum of Natural History New York, New York	
To support planning efforts for the conservation and reinstallation of the museum's Northwest Coast Hall	500,000
American Opera Projects, Inc. Brooklyn, New York	
To support developmental activities and capacity building	225,000
American Symphony Orchestra League New York, New York	
To support diversity initiatives and the Knowledge Center	700,000
Anchorage Museum Association Anchorage, Alaska	
To support curatorial capacity in contemporary indigenous art and culture, and a guest curator program	350,000
The Apollo Theater Foundation, Inc. New York, New York	
To support the coproduction with Opera Philadelphia of Charlie Parker's Yardbird	50,000
Appalshop, Inc. Whitesburg, Kentucky	
To support the Performing Our Future initiative	500,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Arizona State University Tempe, Arizona	
To support the Projecting All Voices initiative	500,000
Arts Midwest Minneapolis, Minnesota	
To support the Performing Arts Discovery international exchange initiative	75,000
Artspot Productions, Inc. New Orleans, Louisiana	
To support collaborations between New Orleans-based arts organizations working with incarcerated women and returned women citizens	75,000
Asia Society New York, New York	
To support the Creative Common Ground initiative	500,000
Ballet Theatre Foundation, Inc. New York, New York	
To support internships for emerging arts administrators from underrepresented communities	150,000
Baltimore Symphony Orchestra, Inc. Baltimore, Maryland	
To support the participation of orchestra fellows from underrepresented communities at the League of American Orchestras annual conference	60,000
Bronx Museum of the Arts Bronx, New York	
To support the planning and pilot launch of the Artist in the Marketplace residency	400,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Brooklyn Academy of Music, Inc. Brooklyn, New York	
To support opera and music-theater presentations	1,000,000
Brooklyn Institute of Arts and Sciences Brooklyn, New York	
To support curatorial capacity, exhibitions, and public programming	1,000,000
Carnegie Hall Society, Inc. New York, New York	
To support NYO2, a national youth orchestra focused on music students from underrepresented communities, and the 125 Commissions Project	1,750,000
Chicago Sinfonietta, Inc. Chicago, Illinois	
To support the Project Inclusion fellowship program	300,000
Company One, Inc. Boston, Massachusetts	
To support a three-year residency with Kirsten Greenidge through the National Playwright Residency Program	192,000
Cornell University Ithaca, New York	
To support collaborations between the campus art museum and library	500,000
Cornerstone Theater Company, Inc. Los Angeles, California	
To support community-engaged creation and development of new artistic work	350,000
Creative Capital Foundation New York, New York	
To support Phase One of a strategic organizational assessment	50,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Dance Heritage Coalition, Inc. New York, New York	
To support ongoing storage and accessibility of the Dance Preservation Digitization Project, and services to the field	52,600
Dance Theatre of Harlem, Inc. New York, New York	
To support a national convening of leaders of major ballet companies to advance diversity, equity, and inclusion in ballet	50,000
Dance/USA Washington, DC	
To support the transfer of preservation activities formerly administered by Dance Heritage Coalition, Inc.	300,000
To support a feasibility study regarding an alliance with Dance Heritage Coalition, Inc.	32,000
The Denver Art Museum Denver, Colorado	
To establish an endowment in support of the museum's curator of Native American arts position, and to support a curatorial fellowship in Native American art	2,250,000
Dia Center for the Arts, Inc. New York, New York	
To support an archivist position, a postdoctoral fellow, and public and educational programs	735,000
Emerson College Boston, Massachusetts	
To support documentation and related activities for the National Playwright Residency Program	855,000
Fort Worth Opera Association, Inc. Fort Worth, Texas	
To support the Frontiers program and the Noches de Ópera initiative	450,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Foundation for Society, Law, and Art in South Africa Stamford, Connecticut	
To support a preservation assessment of the Constitutional Court of South Africa art collections	100,000
Fractured Atlas, Inc. New York, New York	
To support the work of American Dance Abroad	250,000
The Frick Collection New York, New York	
To support the Frick Art Reference Library's Photoarchive initiative	1,000,000
Gateways Music Festival, Inc. Rochester, New York	
To support a strategic planning consultancy	42,150
Georgetown University Washington, DC	
To support the launch of a fellowship program and an annual festival at the Laboratory for Global Performance and Politics	250,000
Glimmerglass Opera Theatre, Inc. Cooperstown, New York	
To support new works development and public programs	400,000
Guthrie Theatre Foundation Minneapolis, Minnesota	
To support the Theater of Inquiry and Engagement initiative	1,000,000
Harvard University Cambridge, Massachusetts	
To support the Summer Institute for Technical Studies in Art	506,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Henry E. Huntington Library & Art Gallery San Marino, California	
To support the position of senior paintings conservator	500,000
Home for Contemporary Theatre and Art, Ltd. New York, New York	
To support a three-year residency with Taylor Mac through the National Playwright Residency Program	218,000
Hunter College New York, New York	
To support a pilot program aimed at exposing students from historically underrepresented groups and others dedicated to an inclusive arts sector to careers in New York City arts organizations	500,000
Inner City Youth Orchestra of Los Angeles, Inc. Los Angeles, California	
To support organizational capacity	77,000
The International Association of Blacks in Dance, Inc. Silver Spring, Maryland	
To support participation in the Comprehensive Organizational Health Initiative	500,000
International Society for the Performing Arts Foundation New York, New York	
To support a fellowship program for performing arts leaders	250,000
Isabella Stewart Gardner Museum, Inc. Boston, Massachusetts	
To support a program to connect historic art museum collections and spaces with contemporary practices of living artists	500,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Iziko Museums of South Africa	
Cape Town, South Africa	
To renew support for strengthening conservation capacity	200,000
John F. Kennedy Center for the Performing Arts	
Washington, DC	
To support a convening on the future of the arts as part of the National Endowment for the Arts' fiftieth anniversary	100,000
Keshet Dance Company	
Albuquerque, New Mexico	
To support the expansion of a dance-based curriculum serving incarcerated youth	85,000
Latino Theater Company	
Los Angeles, California	
To support capacity-building efforts and a revolving board-designated cash reserve	500,000
Los Angeles Opera Company	
Los Angeles, California	
To support the Off Grand initiative and an artist-in-residence position	600,000
Los Angeles Philharmonic Association	
Los Angeles, California	
To support the Youth Orchestra of Los Angeles Institute and Centennial Scholars programs	750,000
The Luis A. Ferré Foundation, Inc.	
Ponce, Puerto Rico	
To continue support for conservation capacity at El Museo de Arte de Ponce	500,000

ARTS AND CULTURAL HERITAGE
(CONTINUED)

	APPROPRIATED
LYRASIS	
Atlanta, Georgia	
To support a national initiative for emergency preparedness for performing arts organizations	2,500,000
Ma-Yi Filipino Theatre Ensemble, Inc.	
New York, New York	
To support a three-year residency with Mike Lew and Rehana Lew Mirza through the National Playwright Residency Program	333,000
The MAP Fund, Inc.	
New York, New York	
To support a regranting program for the creation and development of contemporary performance work	1,000,000
Marin Theatre Company	
Mill Valley, California	
To support a three-year residency with Lauren Gunderson through the National Playwright Residency Program	296,000
Mary Miss - City As Living Laboratory	
New York, New York	
To support further development of methodology and presentation of public art demonstrating ways that art can become a catalyst for environmental awareness, social change, and sustainable development	150,000
Menil Foundation, Inc.	
Houston, Texas	
To continue support for the Artists Documentation Program	300,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Metropolitan Museum of Art New York, New York	
To support collaborative, interdisciplinary research between US and Dutch scholars in art history, conservation, and conservation science	35,000
Mid Atlantic Arts Foundation, Inc. Baltimore, Maryland	
To support the USArtists International initiative	700,000
Mid-America Arts Alliance Kansas City, Missouri	
To support the Creativity Connects: Regional Demonstration Projects initiative	500,000
Museum Associates Los Angeles, California	
To continue support for a program of undergraduate curatorial fellowships aimed at diversifying curatorial cohorts in American art museums	465,000
Museum of Contemporary Art - Denver Denver, Colorado	
To support a leadership program for museum professionals focused on innovative public programming and audience development	400,000
Museum of Modern Art New York, New York	
To support a comprehensive initiative in the conservation of time-based media artworks	1,250,000
To continue support for the Museum Research Consortium	1,170,000
National Association of Latino Arts & Culture San Antonio, Texas	
To support the Intercultural Leadership Institute	600,000

ARTS AND CULTURAL HERITAGE
(CONTINUED)

	APPROPRIATED
National Gallery of Art	
Washington, DC	
To establish endowments on the occasion of the seventy-fifth anniversary of the Gallery's opening, with the intention of helping the Gallery to secure several of its most important programs in perpetuity and catalyzing major support from other donors	30,000,000
To support continued development of Conservation Space	1,800,000
National New Play Network, Ltd.	
Washington, DC	
To support the Rolling World Premieres and New Play Exchange initiatives	550,000
National Performance Network, Inc.	
New Orleans, Louisiana	
To support participation in the Comprehensive Organizational Health Initiative	2,620,000
Network of Ensemble Theaters, Inc.	
Portland, Oregon	
To support the Travel and Exchange Network and capacity building	750,000
New Music USA, Inc.	
New York, New York	
To support the Music Alive orchestral residency program	1,500,000
New Orleans Museum of Art	
New Orleans, Louisiana	
To support postdoctoral curatorial fellowships	400,000
New York Live Arts, Inc.	
New York, New York	
To support the Resident Commissioned Artist program	250,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
New York Public Radio New York, New York	
To support the WQXR Cultural Partnership Program	750,000
Nonprofit Finance Fund New York, New York	
To support a comprehensive organizational health initiative	1,650,000
Northwestern University Settlement Association Chicago, Illinois	
To support a three-year residency with Carlos Murillo through the National Playwright Residency Program	216,000
Oberlin College Oberlin, Ohio	
To support collaborations between the campus art museum and library	150,000
Pangea World Theater Minneapolis, Minnesota	
To support the National Institute for Directing and Ensemble Creation	650,000
PEN American Center, Inc. New York, New York	
To support the development of an information exchange for organizations that provide support to artists at risk	800,000
Penumbra Theatre Company, Inc. St. Paul, Minnesota	
To support the artEquity facilitator training program	575,000
People's Light & Theatre Co. Malvern, Pennsylvania	
To support the New Play Frontiers playwright residency initiative	250,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Perseverance Theatre Incorporated	
Douglas, Alaska	
To support community-engaged creation and development of new artistic work	350,000
To support a three-year residency with Vera Starbard Bedard through the National Playwright Residency Program	205,000
Pillsbury United Communities	
Minneapolis, Minnesota	
To support a three-year residency with Christina Ham through the National Playwright Residency Program	197,000
Playwrights' Center, Inc.	
Minneapolis, Minnesota	
To support developmental activities and collaborations with producing theaters	600,000
Princeton University	
Princeton, New Jersey	
To support specialist research in areas of African, Latin American, and Native American art	300,000
Rothko Chapel	
Houston, Texas	
To support a master planning process for the Rothko Chapel and campus	250,000
Roundabout Theatre Company, Inc.	
New York, New York	
To support the Theatrical Workforce Development Program	500,000
San Diego Repertory Theatre, Inc.	
San Diego, California	
To support a three-year residency with Herbert Siguenza through the National Playwright Residency Program	369,000

ARTS AND CULTURAL HERITAGE (CONTINUED)

	APPROPRIATED
Settlement Music School of Philadelphia	
Philadelphia, Pennsylvania	
To support the Philadelphia Alliance for Youth's initiatives for musicians from underrepresented communities	2,532,000
Smarthistory, Inc.	
Pleasantville, New York	
To support an initiative to accelerate production of high-quality teaching materials for global art history	335,000
Smithsonian Institution	
Washington, DC	
To endow a training fellowship in Chinese painting conservation at the Freer Gallery of Art and the Arthur M. Sackler Gallery	700,000
To support pan-institutional undergraduate internships intended to diversify the applicant pools for graduate conservation programs	500,000
To support conservation capacity and a series of internships and postgraduate fellowships at the National Museum of African Art	475,000
Society of Architectural Historians	
Chicago, Illinois	
To provide emerging scholars with subventions for publication expenses for image rights and reproductions	60,800
Southern Methodist University	
Dallas, Texas	
To support the Ignite/Arts Dallas initiative	300,000
Sphinx Organization, Inc.	
Detroit, Michigan	
To support professional development opportunities for musicians from underrepresented communities	450,000

ARTS AND CULTURAL HERITAGE
(CONTINUED)

	APPROPRIATED
Stanford University Stanford, California	
To strengthen academic engagement with the Cantor Arts Center, and to provide object-centered research and curatorial training to art history graduate students	745,000
Sterling and Francine Clark Art Institute, Inc. Williamstown, Massachusetts	
To support the Research and Academic Program	600,000
Trisha Brown Company, Inc. New York, New York	
To support the Trisha Brown archive	850,000
Two River Theatre Company, Inc. Red Bank, New Jersey	
To support a three-year residency with Madeleine George through the National Playwright Residency Program	283,000
United States Artists, Inc. Chicago, Illinois	
To support an Andrew W. Mellon fellowship for visual and performing artists within the United States Artists fellowship program	300,000
University Musical Society Ann Arbor, Michigan	
To support arts on campus initiatives at the University of Michigan	1,000,000
University of California at Berkeley Berkeley, California	
To support programs that provide an object-based curriculum and curatorial training to art history graduate students	750,000

ARTS AND CULTURAL HERITAGE

(CONTINUED)

	APPROPRIATED
University of California at Los Angeles Los Angeles, California	
To support a pilot program administered by the UCLA/Getty Program in the Conservation of Archaeological and Ethnographic Materials aimed at exposing diverse communities of undergraduates to the conservation profession	450,000
University of Delaware Newark, Delaware	
To support the continuation of the annual Association of North American Graduate Programs in the Conservation of Cultural Property student conference	320,000
University of Hong Kong Hong Kong, China	
To support development of conservation and object-based curriculum at the University Museum and Art Gallery	150,000
University of Illinois at Urbana-Champaign Champaign, Illinois	
To support arts on campus initiatives by the Krannert Center for the Performing Arts	1,000,000
University of London London, United Kingdom	
To support the establishment of a chaired professorship in the History of Art, Science, and Folk Practice at the Warburg Institute	530,000
University of Oklahoma Norman, Oklahoma	
To support curatorial training and internships in Native American arts in collaboration with the university's School of Visual Arts, the Fred Jones, Jr. Museum of Art, and the Institute of American Indian Arts in Santa Fe	750,000

ARTS AND CULTURAL HERITAGE
(CONTINUED)

	APPROPRIATED
University of Washington Seattle, Washington	
To support collaborations between the campus art museum and library	300,000
Visual Arts Research & Resource Center Relating to the Caribbean, Inc., New York, New York	
To support presentations, fellowships, and public programs at the Caribbean Cultural Center African Diaspora Institute	350,000
Voices in Contemporary Art New York, New York	
To support business model adaptation with change capital as part of the Comprehensive Organizational Health Initiative	475,000
Walker Art Center, Inc. Minneapolis, Minnesota	
To support an initiative at the intersection of the Walker's visual and performing arts programs	1,000,000
The Wheelwright Museum of the American Indian Santa Fe, New Mexico	
To support graduate and postgraduate fellowships in the care and study of Native American arts collections	300,000
Williams College Williamstown, Massachusetts	
To strengthen the development of digital resources and academic uses of the collections of the college's art museum	500,000
Robert W. Woodruff Library of the Atlanta University Center, Inc. Atlanta, Georgia	
To support collaborations between the campus art museums and libraries	400,000

ARTS AND CULTURAL HERITAGE
(CONTINUED)

	APPROPRIATED
Yale University New Haven, Connecticut	
To support a survey of artist materials reference collections and conduct a feasibility study for greater access to such collections through shared cataloging practice	55,000
Yerba Buena Center for the Arts San Francisco, California	
To support The Creative Ecosystem, a participatory, democratic approach to art and civic engagement	500,000
Total—Arts and Cultural Heritage	\$ 95,271,550

SCHOLARLY COMMUNICATIONS

	APPROPRIATED
Albert-Ludwigs-Universität Freiburg Freiburg im Breisgau, Germany	
To support the development of software emulation tools	\$ 71,500
American Council of Learned Societies New York, New York	
To support an annual grant competition for digital humanities projects	915,000
Amherst College Amherst, Massachusetts	
To support the reorganization of services and infrastructure at the Folger Shakespeare Library	344,000
Arizona State University Tempe, Arizona	
To support an exploration of new approaches to the curation of library print collections	50,000
Association of American University Presses, Inc. New York, New York	
To support the development of a tool that would enable scholarly presses to determine the full costs of ebook production	50,200
Austrian National Library Vienna, Austria	
To support the digitization and online publication of papyri from the early Arab period	496,000
Biblioteca Apostolica Vaticana Vatican City	
To support the implementation and enhancement of interoperability protocols for digitized manuscripts	563,000

SCHOLARLY COMMUNICATIONS

(CONTINUED)

	APPROPRIATED
The Book Arts Press, Inc.	
Charlottesville, Virginia	
To support an international conference, collaborative research projects, and an edited volume on critical bibliography	300,000
To support sustainability planning for a fellowship program in critical bibliography	49,500
Brandeis University	
Waltham, Massachusetts	
To support the development of new technical infrastructure and an academic advisory board for a collection of video oral histories of African Americans	725,000
To support collaboration across international networks of researchers in the development and application of natural language processing methods	390,000
The British Library	
London, United Kingdom	
To support the preservation of audio resources	590,000
Brown University	
Providence, Rhode Island	
To support the reorganization of services and infrastructure at the John Carter Brown Library	575,000
Carnegie Mellon University	
Pittsburgh, Pennsylvania	
To support a study of the feasibility of using software container technologies as a means of publishing digital scholarship	60,000
Center for Research Libraries	
Chicago, Illinois	
To support an international initiative to preserve and provide access to non-Western, non-English-language archival and library collections	661,000

SCHOLARLY COMMUNICATIONS
(CONTINUED)

	APPROPRIATED
To support the development of a method for identifying a master list of humanities and social sciences journals for long-term preservation	38,500
Cornell University Ithaca, New York	
To support library initiatives that develop and advance the use of linked open data	1,500,000
Council on Library and Information Resources Washington, DC	
To support a national grantmaking competition for the digitization of collections of scholarly and cultural importance	4,340,000
To support a regranting competition for audio and audiovisual preservation	2,725,000
To support postdoctoral fellowships in data curation	995,000
To support planning for a digital library of the Middle East	149,500
Digital Public Library of America Boston, Massachusetts	
To support the implementation of a sustainable business plan	804,000
Duke University Durham, North Carolina	
To support an annual institute designed to advance scholarship, teaching, and publishing in the humanities through the application of digital technologies	260,000
Emory University Atlanta, Georgia	
To support the development of services that would assist humanities faculty in the creation of digital publications	1,200,000
To support the development of model publishing contracts for open access monographs	73,500

SCHOLARLY COMMUNICATIONS (CONTINUED)

	APPROPRIATED
George Mason University Fairfax, Virginia	
To support a workshop in which historians would explore how to incorporate different forms of scholarly arguments in the publication of digital scholarship	29,500
The George Washington University Washington, DC	
To support a network of institutional partnerships to advance digital humanities scholarship	500,000
Hypothes.is Project San Francisco, California	
To support the further development of annotation services for digital scholarly materials	1,000,000
Johns Hopkins University Baltimore, Maryland	
To support the development of a distribution platform for open access monographs	938,000
To support the study of early modern reading practices	451,000
Ludwig-Maximilians-Universität München Munich, Germany	
To support the development of methods and tools that would improve the understanding of documentary texts from the early Arab Empire	498,000
LYRASIS Atlanta, Georgia	
To support further development of an open source collections management system for museums	850,000
To support planning for the possible merger of LYRASIS and Fedora Commons, Inc. (DuraSpace)	31,000

SCHOLARLY COMMUNICATIONS
(CONTINUED)

	APPROPRIATED
National Book Foundation, Inc. New York, New York	
To support research on the availability in the United States of books translated into English	99,500
National Endowment for the Humanities Washington, DC	
To support a fellowship competition for scholarly research in the humanities that would result in digital publications	484,000
To support a fellowship competition for scholarly research in the humanities that would result in digital publications	148,000
New York Public Library New York, New York	
To support the preservation of audio and moving image collections	2,000,000
New York University New York, New York	
To support the continuation of pilot programs in graduate-level training in the conservation of library and special collections materials	77,000
Newberry Library Chicago, Illinois	
To support the creation of tools and resources for the study of Italian handwriting in early modern manuscripts	350,000
Northwestern University Evanston, Illinois	
To support the curation of digitized texts from the early modern period	200,000

SCHOLARLY COMMUNICATIONS (CONTINUED)

	APPROPRIATED
OCLC Online Computer Library Center, Inc. Dublin, Ohio	
To support a study that would develop a strategic planning framework for academic libraries based on a typology of libraries in their institutional contexts	135,000
Old Dominion University Norfolk, Virginia	
To support the preservation of the scholarly record on the web	830,000
Purdue University West Lafayette, Indiana	
To support interdisciplinary research and publication on grand challenges	750,000
The Rebus Foundation Montreal, Canada	
To support a study and initial development of the features of web-based books that scholars need as readers	75,500
Stanford University Stanford, California	
To support library initiatives that develop and advance the use of linked open data	1,466,000
To support a technical upgrade and expansion of functionality for the LOCKSS preservation system	1,267,000
State University of New York College at Buffalo Buffalo, New York	
To support the continuation of pilot programs in graduate-level training in the conservation of library and special collections materials	139,000
Temple University Philadelphia, Pennsylvania	
To support a meeting of directors of university presses and academic libraries	40,000

SCHOLARLY COMMUNICATIONS
(CONTINUED)

	APPROPRIATED
The University of British Columbia	
Vancouver, Canada	
To support the development of prototype infrastructure for the publication of multimedia books in Native American and indigenous studies	509,000
The University of Calgary	
Calgary, Canada	
To support planning for the preservation of the audio archives of a commercial recording company	212,000
University of California at Davis	
Davis, California	
To support partial costs of a conference on the practical aspects of publishing in the digital age	52,000
To support preliminary planning of a data dashboard for use by the directors of research libraries	43,500
University of Connecticut	
Storrs, Connecticut	
To support a studio for the collaborative design, development, and publication of digital scholarly projects	789,000
University of Miami	
Coral Gables, Florida	
To support collaborations between the campus art museum and library	500,000
University of Michigan	
Ann Arbor, Michigan	
To support research on distribution and discovery mechanisms for open access ebooks	28,000

SCHOLARLY COMMUNICATIONS
(CONTINUED)**APPROPRIATED****University of North Carolina at Chapel Hill**

Chapel Hill, North Carolina

To support the development and application of natural language processing methods to the BitCurator software	750,000
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University of Pittsburgh

Pittsburgh, Pennsylvania

To support a diversity program in information science	850,000
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Yale University

New Haven, Connecticut

To support the development of a portal for the electronic publication of books in art and architecture	1,191,000
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Total—Scholarly Communications	\$ 35,208,700
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DIVERSITY

	APPROPRIATED
American Indian College Fund	
Denver, Colorado	
To support a program to improve the rates of four-year degree-completion among Native Americans	\$ 2,400,000
American Philosophical Society	
Philadelphia, Pennsylvania	
To establish the Native American Scholars Initiative	949,000
Barnard College	
New York, New York	
To renew support for the Mellon Mays Undergraduate Fellowship program	52,000
Brown University	
Providence, Rhode Island	
To renew support for the Mellon Mays Undergraduate Fellowship program	132,000
Bryn Mawr College	
Bryn Mawr, Pennsylvania	
To renew support for the Mellon Mays Undergraduate Fellowship program	76,000
City University of New York	
New York, New York	
To support a retention and promotion program for underrepresented and other early-career faculty	541,000
Columbia University	
New York, New York	
To support a multimedia project to engage scholars and the public in a generative dialogue about race and identity	150,000
To renew support for the Mellon Mays Undergraduate Fellowship program	87,000

DIVERSITY
(CONTINUED)

	APPROPRIATED
Community MusicWorks Providence, Rhode Island	
To support the development of the MusicLabs Network	500,000
Dartmouth College Hanover, New Hampshire	
To establish postdoctoral fellowship programs to promote the hiring of scholars who would enhance diversity among faculty in the humanities	1,261,000
To renew support for the Mellon Mays Undergraduate Fellowship program	38,000
Dillard University New Orleans, Louisiana	
To renew support for faculty career-enhancement programs and the development of the undergraduate honors program	444,000
Emory University Atlanta, Georgia	
To support the Visiting Scholars Program at the James Weldon Johnson Institute	750,000
Georgetown University Washington, DC	
To support the expansion of African American studies	1,500,000
Grinnell College Grinnell, Iowa	
To renew support for the Mellon Mays Undergraduate Fellowship program	19,000
Harvard University Cambridge, Massachusetts	
To renew support for the Mellon Mays Undergraduate Fellowship program	70,000

DIVERSITY
(CONTINUED)

	APPROPRIATED
Haverford College Haverford, Pennsylvania	
To renew support for the Mellon Mays Undergraduate Fellowship program	85,000
Johnson C. Smith University Charlotte, North Carolina	
To support the expansion of the interdisciplinary studies program	466,000
The Library Company of Philadelphia Philadelphia, Pennsylvania	
To renew support for the Mellon Scholars Program	500,000
New York Public Library New York, New York	
To support the Schomburg-Mellon Summer Humanities Undergraduate Institute	500,000
Northwestern University Evanston, Illinois	
To renew support for the Mellon Mays Undergraduate Fellowship program	102,000
Oberlin College Oberlin, Ohio	
To renew support for the Mellon Mays Undergraduate Fellowship program	127,000
The Pennsylvania State University University Park, Pennsylvania	
To establish dissertation-completion grants, postdoctoral fellowships, and recruitment and mentoring support for underrepresented graduate students and others who have a demonstrated commitment to diversity or a research focus in critical philosophy of race	800,000

DIVERSITY
(CONTINUED)

	APPROPRIATED
Queens College Flushing, New York	
To renew support for the Mellon Mays Undergraduate Fellowship program	89,000
The Research Foundation for The State University of New York Albany, New York	
To support research related to a documentary on the history of African American automobile driving	163,000
Rice University Houston, Texas	
To renew support for the Mellon Mays Undergraduate Fellowship program	62,000
The Society for the Preservation of Weeksville and Bedford-Stuyvesant History Brooklyn, New York	
To support public engagement programs and internships at an African American museum and preservation site	300,000
Stanford University Stanford, California	
To renew support for the Mellon Mays Undergraduate Fellowship program	174,000
Swarthmore College Swarthmore, Pennsylvania	
To renew support for the Mellon Mays Undergraduate Fellowship program	89,000
Tougaloo College Tougaloo, Mississippi	
To support the creation of an Institute for the Study of Modern Day Slavery	550,000

DIVERSITY
(CONTINUED)

	APPROPRIATED
United Negro College Fund, Inc. Washington, DC	
To support faculty development initiatives across thirty-eight private historically black colleges and universities	2,000,000
University of California at Davis Davis, California	
To support a collaboration among four University of California institutions to craft an inclusive graduate admissions model	150,000
University of California at Los Angeles Los Angeles, California	
To renew support for the Mellon Mays Undergraduate Fellowship program	91,000
University of California at Merced Merced, California	
To support the development of an undergraduate research program in the humanities and related fields for underrepresented students and others interested in pursuing scholarly careers	500,000
University of California at Riverside Riverside, California	
To continue support for a seminar series in intercultural studies sponsored by the Center for Ideas and Society	250,000
University of Cape Town Cape Town, South Africa	
To renew support for the Mellon Mays Undergraduate Fellowship program	204,000
University of Chicago Chicago, Illinois	
To continue support for a postdoctoral fellowship program that identifies and develops promising early-career scholars from underrepresented minority groups and those with other diverse backgrounds and experiences	1,452,000

DIVERSITY
(CONTINUED)

	APPROPRIATED
To renew support for the Mellon Mays Undergraduate Fellowship program	14,000
University of Massachusetts at Amherst Amherst, Massachusetts	
To support the development of faculty and graduate student research programs at the university's W. E. B. Du Bois Center	600,000
University of Pennsylvania Philadelphia, Pennsylvania	
To support the expansion of a pipeline program in multimedia scholarship to students from historically black colleges and universities	143,000
University of Southern California Los Angeles, California	
To renew support for the Mellon Mays Undergraduate Fellowship program	93,000
University of Texas at San Antonio San Antonio, Texas	
To support the creation of an undergraduate research program for students studying humanities and selected social sciences	500,000
University of the Western Cape Bellville, South Africa	
To renew support for the Mellon Mays Undergraduate Fellowship program	110,000
University of the Witwatersrand Johannesburg, South Africa	
To renew support for the Mellon Mays Undergraduate Fellowship program	97,000
Washington University in St. Louis St. Louis, Missouri	
To renew support for the Mellon Mays Undergraduate Fellowship program	61,000

DIVERSITY
(CONTINUED)

	APPROPRIATED
Wesleyan University Middletown, Connecticut	
To renew support for the Mellon Mays Undergraduate Fellowship program	77,000
Whittier College Whittier, California	
To renew support for the Mellon Mays Undergraduate Fellowship program	89,000
Williams College Williamstown, Massachusetts	
To renew support for the Mellon Mays Undergraduate Fellowship program	111,000
Woodrow Wilson National Fellowship Foundation Princeton, New Jersey	
To support the creation of the Nancy Malkiel Scholarship, a pretenure research award for scholars in designated subfields of American history	735,500
Xavier University of Louisiana New Orleans, Louisiana	
To support the revision of the core curriculum by faculty	500,000
Total—Diversity	\$ 20,753,500

INTERNATIONAL HIGHER EDUCATION AND STRATEGIC PROJECTS

APPROPRIATED

Council for the Development of Social Science**Research in Africa**

Dakar, Senegal

To support building and strengthening research and teaching infrastructures at select African universities	\$ 730,500
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Rhodes University

Grahamstown, South Africa

To support a research and development program related to scholarship in African art	520,700
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To support a research project on urban connections in African popular imaginaries	461,000
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Stellenbosch University

Stellenbosch, South Africa

To establish a research and graduate training program on transformation	693,000
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University of Cape Town

Cape Town, South Africa

To support a research and graduate training program in the environmental humanities	619,700
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To establish the Archie Mafeje Chair in Critical and Decolonial Humanities	611,000
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To establish an integrated model of an undergraduate humanities curriculum	572,000
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University of Pretoria

Pretoria, South Africa

To stimulate and strengthen arts and humanities curricula	1,993,700
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To support a transdisciplinary program on inequalities encompassing research, creative arts outputs, and graduate development	965,000
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INTERNATIONAL HIGHER EDUCATION AND STRATEGIC PROJECTS
(CONTINUED)

	APPROPRIATED
University of the Free State	
Bloemfontein, South Africa	
To support a research and digital archiving project on the role, character, and significance of the student protests for South African higher education	150,000
University of the Western Cape	
Bellville, South Africa	
To establish a Laboratory of Kinetic Objects and Puppetry Arts and a Chair in Aesthetic Theory and Material Practice	1,143,000
To support an initiative in political philosophy and political theory related to citizenship and justice	543,000
University of the Witwatersrand	
Johannesburg, South Africa	
To support the History Workshop to undertake research and a graduate development program	858,000
To support a research and graduate development program on changing forms of social engagement in African urban centers	844,700
To support a research and graduate training program on the persistence of gender inequalities in the Global South	754,700
To support the Wits School of Arts	690,000
Total—International Higher Education and Strategic Projects	\$ 12,150,000

PUBLIC AFFAIRS AND CONTRIBUTIONS

	APPROPRIATED
Foundation Center New York, New York	
To provide general support	\$ 75,000
GrowNYC New York, New York	
To provide general support	30,000
GuideStar USA, Inc. Williamsburg, Virginia	
To support GuideStar's membership program	50,000
Nonprofit Coordinating Committee of New York, Inc. New York, New York	
To provide general support for the 2016 fiscal year	75,000
Philanthropy New York, Inc. New York, New York	
To support Philanthropy New York's membership program	40,000
Silicon Valley Community Foundation Mountain View, California	
To support an Innovation Conference that will explore the ways in which technology intersects with critical social issues	50,000
Total—Contributions	\$ 320,000
Matching Gifts	\$ 818,684
Grand Totals	\$ 287,291,984



Report of Independent Auditors

To the Board of Trustees of
The Andrew W. Mellon Foundation

We have audited the accompanying financial statements of The Andrew W. Mellon Foundation (the "Foundation"), which comprise the balance sheets as of December 31, 2016 and 2015, and the related statements of activities and statements of cash flows for the years then ended.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on the financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on our judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, we consider internal control relevant to the Foundation's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Foundation's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the balance sheets of The Andrew W. Mellon Foundation as of December 31, 2016 and 2015, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

PricewaterhouseCoopers LLP

May 23, 2017

PricewaterhouseCoopers LLP, PricewaterhouseCoopers Center, 300 Madison Avenue, New York, NY 10017
T: (646) 471 3000, F: (813) 286 6000, www.pwc.com/us

BALANCE SHEETS

December 31, 2016 and 2015 (in thousands of dollars)

	2016	2015
ASSETS		
Investments	\$ 6,204,634	\$ 6,127,391
Cash	4,562	4,581
Investment receivable	2,202	1,827
Other assets	4,401	4,104
Taxes receivable	7,900	7,915
Property, at cost, less accumulated depreciation of \$34,917 and \$32,530 at December 31, 2016 and 2015, respectively	30,489	32,388
Total assets	\$ 6,254,188	\$ 6,178,206
LIABILITIES AND NET ASSETS		
Liabilities		
Grants payable	\$ 119,359	\$ 118,718
Accrued expenses	4,831	4,758
Deferred federal excise tax	22,900	19,100
Debt	94,350	174,350
Total liabilities	241,440	316,926
Net assets (unrestricted)	6,012,748	5,861,280
Total liabilities and net assets	\$ 6,254,188	\$ 6,178,206

The accompanying notes are an integral part of these financial statements.

STATEMENTS OF ACTIVITIES

Years ended December 31, 2016 and 2015 (in thousands of dollars)

	2016	2015
INVESTMENT RETURN		
Gain (loss) on investments		
Realized, net	\$ 287,267	\$ 362,648
Unrealized, net	187,550	(244,341)
Interest	9,547	3,312
Dividends	13,978	14,220
	498,342	135,839
Less: Investment management expenses	(10,734)	(11,959)
Net investment return	487,608	123,880
EXPENSES		
Program grants and contributions, net	296,917	279,380
Grantmaking operations	20,052	17,889
Direct charitable activities	1,544	1,012
Investment operations	9,677	9,094
Interest	1,632	1,426
Current provision for taxes	6,096	10,357
Other expenses	222	259
	336,140	319,417
Change in net assets	151,468	(195,537)
NET ASSETS (UNRESTRICTED)		
Beginning of year	5,861,280	6,056,817
End of year	\$ 6,012,748	\$ 5,861,280

The accompanying notes are an integral part of these financial statements.

STATEMENTS OF CASH FLOWS

Years ended December 31, 2016 and 2015 (in thousands of dollars)

	2016	2015
Cash flow from investment income and operations		
Change in net assets	\$ 151,468	\$ (195,537)
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations		
Realized gain on investments, net	(287,267)	(362,648)
Unrealized (gain) loss on investments, net	(191,350)	249,341
Increase in investment receivable	(375)	(852)
Increase in other assets	(297)	(1,212)
Decrease (increase) in taxes receivable	15	(1,324)
Increase in grants payable	641	71,134
Increase in accrued expenses	73	84
Depreciation and amortization expense	2,387	2,387
Increase (decrease) in deferred federal excise tax payable	3,800	(5,000)
Net effect of bond amortization	(134)	(382)
Total adjustments	(472,507)	(48,472)
Net cash used by investment income and operations	(321,039)	(244,009)
Cash flow from investing activities		
Proceeds from sales of and distributions from investments	1,574,309	2,451,530
Purchases of investments	(1,172,801)	(2,085,974)
Purchases of fixed assets	(488)	—
Net cash provided by investing activities	401,020	365,556
Cash flow from financing activities		
Borrowings under revolving credit facility	110,000	40,000
Repayment of borrowings under revolving credit facility	(110,000)	(80,000)
Repayment of borrowings under nonrevolving credit facilities	(80,000)	(80,000)
Net cash used by financing activities	(80,000)	(120,000)
Net (decrease) increase in cash	(19)	1,547
Cash		
Beginning of year	4,581	3,034
End of year	\$ 4,562	\$ 4,581
Supplemental disclosure of cash flow information		
Taxes paid	\$ 6,081	\$ 11,681
Supplemental disclosure of noncash investing activities		
Distributions of securities received from alternative investments	\$ 41,606	\$ 58,248

The accompanying notes are an integral part of these financial statements.

NOTES TO FINANCIAL STATEMENTS

December 31, 2016 and 2015

I. Organization and Summary of Significant Accounting Policies

The Andrew W. Mellon Foundation (the “Foundation”) is a not-for-profit corporation under the laws of the State of New York. The Foundation makes grants in five core program areas: higher education and scholarship in the humanities; arts and cultural heritage; scholarly communications; diversity; and international higher education and strategic projects.

The financial statements of the Foundation have been prepared in conformity with accounting principles generally accepted in the United States of America (“GAAP”). The significant accounting policies followed are described below.

Investments

The Foundation’s financial assets and financial liabilities are stated at fair value. Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date.

The Foundation utilizes the practical expedient in valuing certain of its investments where ownership is represented by a portion of partnership capital or shares representing a net asset value investment. The practical expedient is an acceptable method under GAAP to determine the fair value of investments that (i) do not have a readily determinable fair value predicated upon a public market, and (ii) have the attributes of an investment company or prepare their financial statements consistent with the measurement principles of an investment company. All of the Foundation’s limited marketability funds are valued at net asset value using the practical expedient.

A fair value hierarchy prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). The three levels of the fair value hierarchy are as follows:

- Level 1 Inputs that reflect unadjusted quoted prices in active markets for identical assets or liabilities that the Foundation has the ability to access at the measurement date.

NOTES TO FINANCIAL STATEMENTS (CONTINUED)

Level 2 Inputs other than quoted prices that are observable for the asset or liability either directly or indirectly, including inputs in markets that are not considered to be active.

Level 3 Inputs that are unobservable.

Inputs are used in applying the various valuation techniques and refer to the assumptions that market participants use to make valuation decisions. Inputs may include price information, credit data, liquidity statistics and other factors. A financial instrument's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. The Foundation considers observable data to be that market data which is readily available and reliable and provided by independent sources. The categorization of a financial instrument within the hierarchy is therefore based upon the pricing transparency of the instrument and does not necessarily correspond to the Foundation's perceived risk of that instrument.

Investments whose values are based on quoted market prices in active markets are classified as Level 1 and include active listed equities and certain short-term fixed income investments. The Foundation does not adjust the quoted price for such instruments, even in situations where the Foundation holds a large position and a sale of all its holdings could reasonably impact the quoted price.

Investments that trade in markets that are not considered to be active, but are valued based on quoted market prices, dealer quotations, or alternative pricing sources are classified as Level 2. These include certain US government and sovereign obligations, government agency obligations, investment grade corporate bonds and less liquid equity securities.

Investments classified as Level 3 have significant unobservable inputs, as they trade infrequently or not at all. The inputs into the determination of fair value are based upon the best information in the circumstance and may require significant management judgment.

Investments reported at net asset value per share as a practical expedient, are not included within Level 1, 2 or 3 in the fair value hierarchy.

Financial instruments such as those described above involve, to varying degrees, elements of market risk and credit risk in excess of the amounts recorded on the balance sheet. Market risk represents the potential loss the Foundation faces due to the decrease in the value of financial instruments. Credit risk represents the maximum potential loss the Foundation faces due

to possible nonperformance by obligors and counterparties as to the terms of their contracts.

The Foundation invests in a variety of fixed income securities and contractual instruments, which by their nature are interest rate sensitive. Changes in interest rates will affect the value of such securities and contractual instruments.

The Foundation's limited marketability funds are primarily made under agreements to participate in limited partnerships and are generally subject to certain withdrawal restrictions. Values for these partnerships, which may include investments in both nonmarketable and market-traded securities, are provided by the general partner and may be based on recent transactions, cash flow forecasts, appraisals and other factors. Investments in these partnerships may be illiquid, and thus there can be no assurance that the Foundation will be able to realize the recorded fair value of such investments in a timely manner.

Realized gains and losses on investments are calculated based on the first-in, first-out identification method.

In 2016, the Foundation reclassified the presentation of its investments in note 2 of the financial statements. Investment amounts for 2015 have been reclassified to conform to this presentation.

Grants

Grant appropriations include both conditional and unconditional grants. Unconditional grants are expensed when appropriated. Certain grants are approved by the Trustees subject to the grantee fulfilling specific conditions, most frequently that all or a portion of the grant funds be matched in a specified ratio. Such conditional grants are considered commitments and are not recorded as expense until the Foundation determines that the material conditions of the grant are substantially met or such meeting of conditions is probable.

Substantially all grants payable are due within one year and are recorded at face value.

Taxes

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to federal income taxes. However, the Foundation is subject to a federal excise tax. The Foundation follows the policy of providing for federal excise tax on the net appreciation (both realized and unrealized) of investments. The deferred

NOTES TO FINANCIAL STATEMENTS (CONTINUED)

federal excise tax in the accompanying financial statements represents tax provided on the net unrealized appreciation of investments. Under federal tax law the Foundation cannot carry forward realized losses resulting from the sale of investments. The Foundation is subject to income tax at corporate rates on certain income that is considered unrelated business income under the Internal Revenue Code. The Foundation's tax returns are subject to examination by federal and various state tax authorities. With few exceptions the Foundation is no longer subject to tax examinations for years prior to 2013.

Property

Property substantially consists of land held at cost, and buildings and their improvements located in New York City. These buildings are depreciated on a straight-line basis over their useful lives, generally twenty-five to twenty-eight years. Building improvements are depreciated over the remaining useful life of the building.

Investment Return

Investment return includes income and realized and unrealized gains or losses on all investments. Unrealized gain or loss comprises the change in unrealized appreciation or depreciation on investments, net of deferred federal excise tax provided on such unrealized appreciation. Realized gains or losses include gains or losses realized on the sale of securities and the Foundation's share of the operating results of partnership investments, whether distributed or undistributed.

Expenses

Grantmaking operations include all costs related to appropriating, paying and administering grants. Direct charitable activities include expenditures primarily for research. Investment operations include the costs of supervising the Foundation's investment portfolio. Interest expense includes interest, commitment fees, remarketing fees incurred in connection with servicing the Foundation's debt and amortization of deferred bond issuance costs. Current provision for taxes includes federal and state taxes. Other expenses include certain expenses that the Foundation is not permitted to report either as an expense of distribution or an expense of earning income.

Salaries and benefits are allocated to the activities listed above, and also to core administration, based on estimates of the time each staff member devoted to that activity. Core administration expenses are then prorated among the

activities listed above based on headcount allocations. Identifiable costs, such as consultants, are charged directly to each activity.

Amounts for program grants, grantmaking operations, and direct charitable activities shown on the Statement of Activities will not agree with the amounts on the Foundation's Form 990PF, the federal excise tax return, because a cash basis is required for reporting the expenses of distribution for tax purposes as contrasted with the accrual basis used in preparing the accompanying financial statements.

The administrative expenses of distribution, including direct charitable activities, were \$21.6 million (7.5% of appropriated grants) in 2016, compared to \$18.9 million (6.7% of appropriated grants) in 2015.

Investment management expenses are the direct costs of portfolio management, including fees for investment management, custody and advisory services.

The Foundation's expenses by natural classification are as follows for 2016 and 2015 (in thousands of dollars):

	2016	2015
Program grants and contributions, net	\$ 296,917	\$ 279,380
Salaries, pensions and benefits	21,722	18,839
Interest	1,632	1,426
Current provision for taxes	6,096	10,357
Other operating expenses	9,773	9,415
	\$ 336,140	\$ 319,417

Use of Estimates

The preparation of financial statements in accordance with GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reported periods. Actual results could differ from those estimates.

Reclassifications

Certain 2015 amounts have been reclassified to conform to the 2016 presentation.

New Accounting Pronouncements

For the year ended December 31, 2015, the Foundation adopted Accounting Standards Update 2015-07 ("ASU"), Disclosures for Investments in Certain Entities That Calculated Net Asset Value per Share (or Its Equivalent). The

NOTES TO FINANCIAL STATEMENTS (CONTINUED)

ASU removed the requirement to categorize within the fair value hierarchy all investments for which fair value is measured using the practical expedient. The ASU further removed the requirement to make certain disclosures for all investments that are eligible to be measured at fair value using the practical expedient.

In August 2016, the Financial Accounting Standards Board issued ASU 2016-14, Presentation of Financial Statements for Not-for-Profit Entities. This standard marks the completion of the first phase of a larger project aimed at improving not-for-profit financial reporting. Under the new guidance, the existing three categories of net assets will be replaced with a simplified model that combines temporarily restricted and permanently restricted net assets into a single category called “net assets with donor restrictions” and renames unrestricted net assets as “net assets without donor restrictions.” There will be new reporting requirements for expenses and additional disclosures to describe an organization’s liquidity. The standard is effective for fiscal years beginning after December 15, 2017. The Foundation is currently assessing the impact this standard will have on its financial statements.

2. Investments

Investments held at December 31, 2016 and 2015 are summarized as follows (in thousands of dollars):

	2016		2015	
	Fair Value	Cost	Fair Value	Cost
Public equity	\$ 332,791	\$ 313,524	\$ 465,813	\$ 484,045
Fixed income	393,662	395,595	378,059	380,374
Short-term	127,258	127,258	200,313	200,313
	853,711	836,377	1,044,185	1,064,732
Limited marketability funds:				
Private equity	2,389,648	1,651,190	2,318,257	1,658,671
Diversified strategies	1,520,150	1,329,704	1,353,534	1,207,374
Public equity	1,444,896	1,244,273	1,413,351	1,243,439
	5,354,694	4,225,167	5,085,142	4,109,484
Payable from unsettled security transactions	(5,132)	(5,132)	(2,792)	(2,792)
Receivable from unsettled security transactions	1,361	1,361	856	856
	\$6,204,634	\$5,057,773	\$ 6,127,391	\$ 5,172,280

The classification of investments by level within the valuation hierarchy as of December 31, 2016 is as follows (in thousands of dollars):

	Quoted Prices (Level 1)	Significant Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)	Investments at Net Assets Value	Total
Public equity	\$330,504	\$ 2,287	\$—	\$ —	\$ 332,791
Fixed income	—	393,662	—	—	393,662
Short term	127,258	—	—	—	127,258
Limited marketability funds:					
Private equity	—	—	—	2,389,648	2,389,648
Diversified strategies	—	—	—	1,520,150	1,520,150
Public equity	—	—	—	1,444,896	1,444,896
	\$457,762	\$395,949	\$—	\$5,354,694	6,208,405
Payable from unsettled security transactions					(5,132)
Receivable from unsettled security transactions					1,361
					\$6,204,634

The classification of investments by level within the valuation hierarchy as of December 31, 2015 is as follows (in thousands of dollars):

	Quoted Prices (Level 1)	Significant Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)	Investments at Net Assets Value	Total
Public equity	\$464,263	\$ 1,550	\$—	\$ —	\$ 465,813
Fixed income	-	378,059	—	—	378,059
Short term	200,313	—	—	—	200,313
Limited marketability funds:					
Private equity	—	—	—	2,318,257	2,318,257
Diversified strategies	—	—	—	1,353,534	1,353,534
Public equity	—	—	—	1,413,351	1,413,351
	\$664,576	\$379,609	\$—	\$5,085,142	6,129,327
Payable from unsettled security transactions					(2,792)
Receivable from unsettled security transactions					856
					\$6,127,391

Certain investments that were classified as Level 2 in 2015 are now classified as follows: \$49.7 million as Level 1 and \$1.0 billion as investments at net asset value.

NOTES TO FINANCIAL STATEMENTS (CONTINUED)

Set forth below is additional information pertaining to limited marketability funds valued at net asset value as of December 31, 2016 and 2015 (in thousands of dollars):

	Fair Value		Redemption Frequency Ranges	Redemption Notice Period
	2016	2015		
Private equity (1)	\$ 2,389,648	\$ 2,318,257	Not applicable	Not applicable
Diversified (2)	1,520,150	1,353,534	For 10% of Diversified investments redemption not permitted during life of the fund Monthly to 24 Months	Not applicable 44-92 Days
Public equity (3)	1,444,896	1,413,351	Monthly to 36 Months	6-90 Days
	\$ 5,354,694	\$ 5,085,142		

- (1) This category includes investments in private equity, venture capital, buyout, real estate and energy-related funds. These funds invest both domestically and internationally across a broad spectrum of industries. Generally these funds cannot be redeemed; instead, the nature of the investments is that distributions will be received as the underlying investments of the fund are liquidated. Unfunded commitments at December 31, 2016 were \$1.26 billion compared to \$1.08 billion at December 31, 2015.
- (2) This category includes investments in funds that invest in a variety of privately held and publicly available securities, including equities, corporate and government bonds, convertibles, derivatives, and includes investments in domestic and international markets. The Foundation estimates that approximately 32% of the value of these funds can be redeemed within 12 months. Unfunded commitments at December 31, 2016 were \$81 million compared to \$131 million at December 31, 2015.
- (3) This category includes investments in funds that invest long and short in international and domestic securities, primarily in equity securities and investments in derivatives. The Foundation estimates that approximately 67% of the value of these funds can be redeemed within 12 months. There are no unfunded commitments in this category.

3. Debt

Debt outstanding as of December 31, 2016 and 2015 is as follows (in thousands of dollars):

	2016	2015
Nonrevolving lines of credit, due June 30, 2017	\$ 50,000	\$ 130,000
Variable Rate bonds, due December 1, 2032	44,350	44,350
	\$ 94,350	\$ 174,350

The interest rate on borrowings under the nonrevolving lines of credit is LIBOR plus 35 basis points.

Interest for the Variable Rate bonds is reset weekly by the Foundation's bond agent. Bond holders have the right to tender their bonds to the bond agent weekly, and the agent has an obligation to remarket such bonds. Bonds that cannot be remarketed must be redeemed by the Foundation. The Foundation

believes that the fair value of the Variable Rate bonds approximates their book value. The average interest rate applicable in 2016 and 2015 for the Variable Rate bonds was 0.56% and 0.14%, respectively. Interest incurred, exclusive of amortization of deferred bond issuance costs and fees, was \$249 thousand and \$63 thousand in 2016 and 2015, respectively.

The Foundation maintains a secured revolving line of credit agreement (“Credit Agreement”) which permits the Foundation to borrow up to \$145 million and which matures on March 18, 2018. At December 31, 2016 and December 31, 2015 no borrowings were outstanding under the Credit Agreement. Borrowings under the Credit Agreement are to be used to pay grants or other qualifying distributions. The interest rate on borrowings under the Credit Agreement is LIBOR plus 35 basis points. One of the Foundation’s managed accounts valued at \$407 million, as of December 31, 2016, has been pledged to secure borrowings under the Credit Agreement. The pledged account is included in Investments in the accompanying Balance Sheet.

4. Taxes

The Internal Revenue Code (“Code”) imposes an excise tax on private foundations equal to two percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to one percent when a foundation meets certain distribution requirements under Section 4940(e) of the Code. The Foundation qualified for the one percent rate in 2016 and was subject to the two percent rate in 2015. Certain income defined as unrelated business income by the Code may be subject to tax at ordinary corporate rates.

The current and deferred provision for taxes for 2016 and 2015 are as follows (in thousands of dollars):

	2016	2015
Current provision		
Federal excise tax on net investment income	\$ 4,336	\$ 9,319
Federal and state taxes on unrelated business income	1,760	1,038
	\$ 6,096	\$ 10,357
Deferred provision (benefit)		
Change in unrealized appreciation (1)	\$ 3,800	\$ (5,000)

- (1) The deferred tax provision (benefit) is reflected on the Statement of Activities and represents the change in net unrealized appreciation of investments at two percent.

NOTES TO FINANCIAL STATEMENTS (CONTINUED)

5. Grants, Contributions, and Commitments

The following table of grant activity by major program area includes all grant appropriations approved during 2016 (in thousands of dollars):

	Payable and Committed December 31, 2015	2016 Grants and Commitments Appropriated	2016 Grants and Commitments Paid	Payable and Committed December 31, 2016
Higher Education and Scholarship in the Humanities	\$ 60,063	\$ 122,770	\$ 124,619	\$ 58,214
Arts and Cultural Heritage	50,289	95,272	104,407	41,154
Scholarly Communications	12,608	35,208	35,178	12,638
Diversity	6,850	20,754	18,547	9,057
International Higher Education and Strategic Projects	556	12,150	12,275	431
Conservation and the Environment	2,216	—	2,216	—
Program grants and commitments - totals	132,582	286,154	297,242	121,494
Contributions and matching gifts	—	1,138	1,138	—
	\$ 132,582	\$ 287,292	\$ 298,380	\$ 121,494

Grant and grant commitment activity is summarized below (in thousands of dollars):

	2016	2015
Grants payable		
Grants payable at January 1	\$ 118,718	\$ 47,584
Grant expense	299,021	279,821
Less: Grants paid	(298,380)	(208,687)
Grants payable at December 31	\$ 119,359	\$ 118,718
Net grant expense		
Unconditional grants	\$ 236,680	\$ 223,182
Conditional grants meeting conditions for expense	62,341	56,639
	299,021	279,821
Less: Grant refunds	(2,104)	(441)
Net grant expense at December 31	\$ 296,917	\$ 279,380
Grant commitments		
Grant commitments at January 1	\$ 13,864	\$ 10,879
Conditional grants appropriated	50,612	59,624
Less: Grants meeting conditions for expense	(62,341)	(56,639)
Grant commitments at December 31	\$ 2,135	\$ 13,864

6. Subsequent Events

The Foundation has evaluated subsequent events through May 23, 2017, the date the financial statements were issued, and believes no additional disclosures are required in its financial statements.

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